

Method Enterprises, LLC

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Form ADV Part 2A Brochure

Method Enterprises, LLC is an investment adviser registered with the Securities and Exchange Commission (hereinafter "SEC"). An "investment adviser" means any person who, for compensation, engages in the business of advising others, either directly or through publications or writings, as to the value of securities or as to the advisability of investing in, purchasing, or selling securities, or who, for compensation and as part of a regular business, issues or promulgates analyses or reports concerning securities. Registration with the SEC or any state securities authority does not imply a certain level of skill or training.

This brochure provides information about the qualifications and business practices of Method Enterprises, LLC. If you have any questions about the contents of this brochure, please contact us at (404) 937-1371. 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 Method Enterprises, LLC is available on the SEC's website at www.adviserinfo.sec.gov.

Material Changes - Item 2

This item will discuss material changes that were made to the firm's Brochure since the firm's last annual update and provide clients with a summary of such changes.

On March 20, 2013, we submitted our annual updating amendment filing and amended Item 4 of this Brochure to reflect total assets under management of \$122,754,561. We also changed our address on the cover page of document and removed all reference to our previous affiliation with HA&W Wealth Management, LLC.

Table of Contents - Item 3

Contents

Material Changes - Item 2.....	2
Table of Contents - Item 3	3
Advisory Business - Item 4.....	4
Fees and Compensation - Item 5.....	5
Performance-Based Fees and Side-By-Side Management - Item 6.....	6
Types of Clients - Item 7	6
Methods of Analysis, Investment Strategies and Risk of Loss - Item 8	6
Disciplinary Information - Item 9	8
Other Financial Industry Activities and Affiliations - Item 10	8
Code of Ethics, Participation or Interest in Client Transactions and Personal Trading - Item 11	8
Brokerage Practices - Item 12	9
Review of Accounts - Item 13	10
Client Referrals and Other Compensation - Item 14	10
Custody - Item 15	10
Investment Discretion - Item 16.....	10
Voting Client Securities - Item 17.....	10
Financial Information - Item 18.....	10
Requirements for State-Registered Advisors - Item 19.....	11
Miscellaneous	11

Advisory Business - Item 4

Method Enterprises, LLC (hereinafter "Method Enterprises") is a registered investment adviser based in Atlanta, Georgia. We are a limited liability company under the laws of the State of Delaware. We have been providing investment advisory services since 2011. Anthony Allen Wood is the Chief Executive Officer and Managing Member; and Schell Scott is the Chief Compliance Officer of Method Enterprises. Method Enterprises is a wholly owned subsidiary of Method Holdings, LLC, a holding company that is owned by Anthony Allen Wood, James Driscoll and other minority shareholders.

You may see the term Associated Person throughout this Brochure. As used in this Brochure, this term refers to anyone from our Firm who is an officer, employee, or an individual providing investment advice on behalf of our Firm. Such persons are properly registered as investment adviser representatives in all required jurisdictions.

Portfolio Management Services

Method Enterprises has developed proprietary model investment portfolios in conjunction with PineBridge Investments, an investment adviser registered with the Securities and Exchange Commission. Generally, Method Enterprises will place its clients in one of these portfolios and will assume continuous and discretionary management duties over investments in these portfolios.

Additionally, Method Enterprises provides investment advisory services to clients in managed account programs sponsored by various third party sponsors (the "Sponsor"). In these programs, clients receive discretionary investment advisory services from Method Enterprises, while custody, performance monitoring, and other services are provided by the Sponsor - for an all-inclusive (or "wrap") fee paid by the client to the Sponsor.

In the wrap fee programs in which the Firm participates, the Sponsor or another third party adviser typically:

1. assists the client in defining the client's investment objectives based on information provided by the client,
2. determines whether the given wrap fee arrangement is suitable for the client,
3. aids in the selection of an investment advisor to manage the account (or a portion of its assets), and
4. periodically contacts the client to ascertain whether there has been any change in the client's financial circumstances or objectives that warrant a change in the arrangement or the manner in which the client's assets are managed.

Discretionary portfolio management services means that once the portfolio has been agreed upon, the ongoing management of the portfolio will be our responsibility. This authority is granted to us by the client in a written agreement. This allows our Firm to decide on specific securities and the quantity of the securities and to place buy or sell orders for the client's account without obtaining pre-approval for each transaction. This type of authorization is granted using either an investment advisory agreement, a limited power of attorney agreement, or trading authorization forms.

Method Enterprises mainly uses equity securities, corporate debt securities, commercial paper, certificates of deposit, municipal securities, exchange traded funds, mutual funds, and U.S. government

securities in its portfolio management programs. We may also invest in various investment related limited partnerships.

We monitor our clients' portfolios on a continuous basis, and rebalance the portfolio as changes occur in market conditions, the client's financial circumstances, or both.

We recommend that you review the statement(s) you receive from the qualified custodian.

Assets Under Management

As of December 31, 2012, we manage \$122,754,561 in client assets, all on a discretionary basis.

Fees and Compensation - Item 5

Method Enterprises charges fees based on a percentage of assets under management for its advisory services. At the sole discretion of Method Enterprises these fees are negotiable.

Portfolio Management Services

For portfolio management services, Method Enterprises charges an annual fee based upon a percentage of the market value of the assets being managed. Our fee for portfolio/asset management services is set forth in the following fee schedule:

<u>Assets Under Management</u>		<u>Annual Fee*</u>
First	\$1,000,000	0.50%
Next	\$2,000,000	0.45%
Next	\$2,000,000	0.40%
Over	\$5,000,000	Negotiable

*Other fee payment arrangements may be negotiated on a case by case basis. The exact fee payable by the client will be clearly set forth in the agreement for services signed by the Firm and the client.

Method Enterprises allows related accounts to be combined for fee paying purposes. We combine the account valuations to assist clients in meeting fee breakpoints and therefore lowering the overall fee level. Method Enterprises extends this option to all accounts residing in the same household and certain members of the same family.

Fees are billed quarterly, in advance, and are either based on the value of the portfolio at the end of the preceding quarter or an average daily balance. The custodian holding the client's account will deduct the fees directly from the account. The client must consent in advance to direct debiting of their account. The qualified custodian holding the client's funds and securities will send an account statement at least quarterly. This statement will detail account activity. Clients should review each statement for accuracy.

At the inception of investment management services, the first quarter's fees will be calculated on a pro-rata basis. The Advisory Agreement between Method Enterprises and the client will continue in effect until either party terminates the Agreement in accordance with the terms of the Agreement. Method Enterprises' annual fee will be pro-rated through the date of termination and any remaining balance shall be refunded to the client, as appropriate, in a timely manner.

Additional Fees and Expenses

The fees Method Enterprises charges may be negotiable based on the amount of assets under management, complexity of client goals and objectives, and level of services rendered. The fees are charged as described above and are not based on a share of capital gains of the funds of an advisory client.

All fees paid to Method Enterprises for investment advisory services are separate and distinct from the fees and expenses charged by mutual funds or exchange traded funds to their shareholders. These fees and expenses are described in each fund's prospectus. These fees generally include a management fee, other fund expenses, early redemption fee and a possible distribution fee. If the fund also imposes sales charges, a client may pay an initial or deferred sales charge.

A client could invest in a mutual fund directly, without the services of Method Enterprises. In that case, the client would not receive the services provided by Method Enterprises which are designed, among other things, to assist the client in determining which mutual fund or funds are most appropriate to each client's financial condition and objectives. Accordingly, the client should review both the fees charged by the funds and the fees charged by Method Enterprises to fully understand the total amount of fees to be paid by the client and to thereby evaluate the advisory services being provided.

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

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

Types of Clients - Item 7

We offer investment advisory services to individuals, pension and profit sharing plan participants, trusts, estates, charitable organizations, corporations, registered investment advisers and other business entities.

Method Enterprises requires a minimum of \$50,000 to open and maintain an advisory account. At our sole discretion we may waive this requirement. This requirement can be met by combining two or more accounts owned by the client or related family members.

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

The following are different methods of analysis that we may use when providing you with investment advice:

- **Fundamental Analysis** – This is a technique that attempts to determine a security's value by focusing on underlying factors that affect a company's actual business and its future prospects. The term refers to the analysis of the economic well-being of a financial entity as opposed to only its price movements.
- **Technical Analysis** – This is a technique that relies on the assumption that current market data (such as charts of price, volume, and open interest) can help predict future market trends, at least in the short term. It assumes that market psychology influences trading and can predict when stocks will rise or fall.

- **Charting** – This is a technique that attempts to forecast future market moves by studying historical data on charts.

We may use one or more of the following investment strategies when advising you on investments:

- **Long Term Purchases** – securities held for over a year.
- **Short Term Purchases** – securities held for less than a year.

The investment advice provided along with the strategies suggested by Method Enterprises will vary depending on each client's specific financial situation and goals. This brief statement does not disclose all of the risks and other significant aspects of investing in financial markets. In light of the risks, you should fully understand the nature of the contractual relationship(s) into which you are entering and the extent of your exposure to risk. Certain investing strategies may not be suitable for many members of the public. You should carefully consider whether the strategies employed will be appropriate for you in light of your experience, objectives, financial resources and other relevant circumstances.

General Investment Risk: All investments come with the risk of losing money. Investing involves substantial risks, including complete possible loss of principal plus other losses and may not be suitable for many members of the public. Investments, unlike savings and checking accounts at a bank, are not insured by the government to protect against market losses. Different market instruments carry different types and degrees of risk and you should familiarize yourself with the risks involved in the particular market instruments you intend to invest in.

Loss of Value: There can be no assurance that a specific investment will achieve its investment objectives and past performance should not be seen as a guide to future returns. The value of investments and the income derived may fall as well as rise and investors may not recoup the original amount invested. Investments may also be affected by any changes in exchange control regulation, tax laws, withholding taxes, international, political and economic developments, and government, economic or monetary policies.

Interest Rate Risk: Fixed income securities and funds that invest in bonds and other fixed income securities may fall in value if interest rates change. Generally, the prices of debt securities rise when interest rates fall, and their prices fall when interest rates rise. Longer term debt securities are usually more sensitive to interest rate changes.

Credit Risk: Investments in bonds and other fixed income securities are subject to the risk that the issuer(s) may not make required interest payments. An issuer suffering an adverse change in its financial condition could lower the credit quality of a security, leading to greater price volatility of the security. A lowering of the credit rating of a security may also offset the security's liquidity, making it more difficult to sell. Funds investing in lower quality debt securities are more susceptible to these problems and their value may be more volatile.

Foreign Exchange Risk: Foreign investments may be affected favorably or unfavorably by exchange control regulations or changes in the exchange rates. Changes in currency exchange rates may influence the share value, the dividends or interest earned and the gains and losses realized. Exchange rates between currencies are determined by supply and demand in the currency exchange markets, the international balance of payments, governmental intervention, speculation and other economic and

political conditions. If the currency in which a security is denominated appreciates against the US Dollar, the value of the security will increase. Conversely, a decline in the exchange rate of the currency would adversely affect the value of the security.

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 legal or disciplinary events by our Firm, our principals or advisory representatives.

Other Financial Industry Activities and Affiliations - Item 10

Method Risk Management, LLC is an insurance agency owned by Method Holdings, LLC, our firm's parent company. Certain associated persons of Method Enterprises may also be licensed as agents of Method Risk Management, LLC and may receive commissions for the sale of insurance products.

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

Description of Our Code of Ethics

Method Enterprises has adopted a Code of Ethics (the "Code") to address investment advisory conduct. The Code focuses primarily on fiduciary duty, personal securities transactions, insider trading, gifts, and conflicts of interest. The Code includes Method Enterprises' policies and procedures developed to protect client's interests in relation to the following topics:

- The duty at all times to place the interests of clients first;
- The requirement that all personal securities transactions be conducted in such a manner as to be consistent with the code of ethics.
- The responsibility to avoid any actual or potential conflict of interest or misuse of an employee's position of trust and responsibility;
- The fiduciary principle that information concerning the identity of security holdings and financial circumstances of clients is confidential; and
- The principle that independence in the investment decision-making process is paramount.

Existing and prospective clients can obtain a copy of our Code of Ethics by calling our main office at (404) 937-1371.

Personal Trading Practices

At times Method Enterprises and/or its Advisory Representatives may take positions in the same securities as clients, which may pose a conflict of interest with clients. Method Enterprises and its Advisory Representatives will generally be "last in" and "last out" for the trading day when trading occurs in close proximity to client trades. We will not violate our fiduciary responsibilities to our clients. Front running (trading shortly ahead of clients) is prohibited. Should a conflict occur because of materiality (i.e. a thinly traded stock), disclosure will be made to the client(s) at the time of trading. Incidental trading not deemed to be a conflict (i.e. a purchase or sale which is minimal in relation to the total outstanding value, and as such would have negligible effect on the market price), would not be disclosed at the time of trading.

Brokerage Practices - Item 12

Method Enterprises provides investment advisory services to clients in managed account programs sponsored by various sponsors (the "Sponsor"). We generally do not have discretion to select broker-dealers for trade execution. Generally, clients in these managed account programs appoint an exclusive broker-dealer for handling their securities transactions. We do not negotiate brokerage commissions on the client's behalf with the Sponsor. We will only direct trading to the brokerage firm selected by the Sponsor for client transactions because the wrap fee paid by the client only covers execution costs on trades executed by the brokerage firm selected by the Sponsor. In other words, clients may incur additional commissions or fees on transactions that are executed away from the brokerage firm selected by the Sponsor.

Clients in managed account programs should satisfy themselves that the Sponsor is able to provide best execution of securities transactions.

Research and Other Soft Dollar Benefits

Although not considered "soft dollar" compensation, we may receive benefits from our broker-dealers for research services that include reports, software, and institutional trading support. The benefits received from broker-dealers may be useful in servicing our clients.

We understand our duty for best execution and consider all factors in making recommendations to our clients. While we may not always obtain the lowest commission rate, we believe the rate is reasonable relative to the value of the brokerage and research services provided.

Directed Brokerage

The client may direct brokerage to a specified broker-dealer other than the brokerage firm selected by the Sponsor. It is up to the client to negotiate the commission rate, as Method Enterprises will not. The client may not be able to negotiate the most competitive rate. As a result, the client may pay more than the rate available through the broker-dealer used by the Sponsor. In client directed brokerage arrangements, the client may not be able to participate in aggregated ("blocked") trades, which may help reduce the cost of execution.

Trade Aggregation

While individual client advice is provided to each account, client trades may be executed as a block trade. Only accounts in the custody of the brokerage firm selected by the Sponsor would have the opportunity to participate in aggregated securities transactions. The executing broker will be informed that the trades are for the account of Method Enterprises' clients and not for Method Enterprises itself. No advisory account within the block trade will be favored over any other advisory account, and thus, each account will participate in an aggregated order at the average share price and receive the same commission rate. The aggregation should, on average, reduce slightly the costs of execution, and Method Enterprises will not aggregate a client's order if in a particular instance Method Enterprises believes that aggregation would cause the client's cost of execution to be increased. The executing broker-dealer will be notified of the amount of each trade for each account. Method Enterprises and/or its Advisory Representatives may participate in block trades with clients, and may also participate on a pro rata basis for partial fills, but only after the determination has been made that clients will receive fair and equitable treatment.

Review of Accounts - Item 13

Portfolio Management Account Reviews

Method Enterprises monitors the individual investments within the Firm's portfolio management program on a continuous basis.

Clients will receive reports and statements directly from the account custodian(s) at least quarterly.

Client Referrals and Other Compensation - Item 14

Apart from the research we receive from the brokerage firm(s) selected by the Sponsor, we do not receive economic benefits from third parties in exchange for providing investment advice or other advisory services to our clients.

Method Enterprises may compensate individuals and/or entities for client referrals. All solicitor agreements are in compliance with the Investment Advisers Act of 1940. In addition, all applicable federal and state laws will also be observed. Clients procured by solicitors will be given full written disclosures describing the terms and fee arrangements between the advisor and the solicitor prior to or at the time of entering into the advisory agreement.

Custody - Item 15

Method Enterprises does not have custody over client funds or securities.

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

Investment Discretion - Item 16

Method Enterprises will manage client accounts on a discretionary basis if the client has granted discretionary authority in the client's investment advisory agreement. Discretionary authority extends to the type and amount of securities to be bought and sold and do not require advance client approval. However, Method Enterprises does not have the ability to withdraw funds or securities from the client's account.

Voting Client Securities - Item 17

Proxy Voting

Method Enterprises does not vote proxies. It is the client's responsibility to vote proxies. Clients will receive proxy materials directly from the custodian. Questions about proxies may be made via the contact information on the cover page.

Financial Information - Item 18

We are required in this Item to provide clients with certain financial information or disclosures about Method Enterprises' financial condition. Method Enterprises does not require or ask for prepayment of more than \$1,200 in fees per client, six months or more in advance, 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 for State-Registered Advisors - Item 19

This section is intentionally left blank- Our Firm is SEC registered

Miscellaneous

Class Action Lawsuits

From time to time, securities held in the accounts of clients will be the subject of class action lawsuits. Method Enterprises has no obligation to determine if securities held by the client are subject to a pending or resolved class action lawsuit. It also has no duty to evaluate a client's eligibility or to submit a claim to participate in the proceeds of a securities class action settlement or verdict. Furthermore, the Firm has no obligation or responsibility to initiate litigation to recover damages on behalf of clients who may have been injured as a result of actions, misconduct, or negligence by corporate management of issuers whose securities are held by clients.

Where the Firm receives written or electronic notice of a class action lawsuit, settlement, or verdict affecting securities owned by a client, it will forward all notices, proof of claim forms, and other materials, to the client. Electronic mail is acceptable where appropriate, and the client has authorized contact in this manner.

Trade Error Correction Procedures

On infrequent occasions, an error may be made in a client account. For example, a security may be erroneously purchased for the account instead of sold. In these situations, the Firm generally seeks to rectify the error by placing the client account in a similar position as it would have been had there been no error. Depending on the circumstances, various corrective steps may be taken, including among others canceling the trade or adjusting an allocation. Any losses resulting from error correction will be placed in Method Enterprises' error correction account. Any gains resulting from error correction will be placed in the client's account.

Confidentiality

Method Enterprises 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.

Method Enterprises 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, Method Enterprises may share some information with its service providers, such as transfer agents, custodians, broker-dealers, accountants, and lawyers.

Method Enterprises 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. Method Enterprises 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. Clients who have questions about this policy, may contact the Firm at (404) 937-1371.