

# JAMES W. CONCIDINE

MAIN MANAGEMENT, LLC  
601 CALIFORNIA STREET, SUITE 620, SAN FRANCISCO, CALIFORNIA 94108  
(415) 217-5800

**This brochure provides supplemental information about James W. Concidine (“James Concidine”). This supplements the Main Management, LLC brochure, which should have also been provided to you. Please contact Kim D. Arthur at Main Management, LLC if you need the Main Management, LLC brochure or if you have any questions.**

**Additional information about Main Management, LLC is also available at the SEC’s website [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) (click on the link, select “investment adviser firm” and type in our firm name). Results will provide you both Part 1 and 2 of our Form ADV.**



SEPTEMBER 19, 2011

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## ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

### 2.A: INDIVIDUAL

**James W. Concidine**

Year Born: 1944

### 2.B: EDUCATIONAL BACKGROUND

B.A., Economics – Hamline University (1966)

### 2.C: BUSINESS BACKGROUND

04/2002 – Present: *Chief Financial Officer*, Main Management, LLC

01/1991 – Present: *Chief Investment Officer*, MMM Family Office

### 2.D: PROFESSIONAL QUALIFICATIONS

Series 000, NYSE Representative Examination (1970)

Series 1, Registered Representative Examination (1970)

Series 63, Uniform Securities Agent Laws (1991)

## ITEM 3 – DISCIPLINARY INFORMATION

James Concidine has no legal or disciplinary events that are material to you or a prospective client's evaluation of this advisory business.

## ITEM 4 – OTHER BUSINESS ACTIVITIES

The principal business of Main Management, LLC is that of a registered investment advisor and provider of financial planning services. As well Mr. Concidine is the Chief Investment Officer for MMM Family Office.

## ITEM 5 – ADDITIONAL COMPENSATION

Other than work with Main Management, LLC and any disclosures made in Items 2 and 4 above, James Concidine receives no additional compensation related to outside business activities.

## ITEM 6 – SUPERVISION

James Concidine is not a supervising authority at Main Management, LLC but does work closely with and is monitored by the supervising member of the firm. The supervising member is Kim D. Arthur; who remains aware of and keeps us in compliance with the current rules and regulations put forth by each ruling regulatory authority where we conduct our business. Main Management, LLC has established internal policies for the guidance of its trading personnel, specifying minimum and maximum commissions to be paid for various types and sizes of transactions. Transactions, which vary from the guidelines, are subject to periodic supervisory review. These guidelines are reviewed yearly and periodically adjusted. The general level of brokerage commissions paid is periodically reviewed by Main Management, LLC. Evaluations of the reasonableness of brokerage commissions are made by Main Management, LLC's trading personnel while effecting portfolio transactions for clients.

Main Management, LLC maintains and periodically updates a list of approved brokers and dealers, which is generally capable of providing best price and execution and is financially stable. Main Management, LLC's traders are directed to use only brokers and dealers on the approved list, except in the case of client designations of brokers or dealers to effect transactions for such clients' accounts.

Kim D. Arthur is located at 601 California Street, Suite 620, San Francisco, California 94108 and can be reached by calling (415) 217-5800.

## ITEM 7 – REQUIREMENTS FOR STATE REGISTERED ADVISORS

*State securities authorities require this disclosure and it is provided to you for evaluating this investment advisor representative's suitability.*

Other than any disclosures made in Item 3 above, James Concidine has not been found liable in any additional arbitration or liable in a civil, self-regulatory organization, or administrative proceeding involving an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. James Concidine has never been the subject of a bankruptcy petition.