

OMB APPROVAL
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<b>FORM ADV</b>		
	<b>Uniform Application for Investment Adviser Registration</b>	
<b>Part II - Page 1</b>		

Name of Investment Adviser: Red Rock Wealth Management, LLC				
Address: (Number and Street)	(City)	(State)	(Zip Code)	Area Code: Telephone Number:
6817 S. Eastern Ave., Ste. 101	Las Vegas	NV	89119	(702) 987-1607

**This part of Form ADV gives information about the investment adviser and its business for the use of clients.  
The information has not been approved or verified by any government authority.**

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(Schedules A, B, C, D, and E are included with Part I of this Form, for the use of regulatory bodies, and are not distributed to clients.)

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**Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).**

**FORM ADV****Part II - Page 2**

Applicant:	SEC File Number:	Date:
Red Rock Wealth Management, LLC	801-	04/29/2009

## Definitions for Part II

Related person - Any officer, director or partner of applicant or any person directly or indirectly controlling, controlled by, or under common control with the applicant, including any non-clerical, non-ministerial employee.

Investment Supervisory Services - Giving continuous investment advice to a client (or making investments for the client) based on the individual needs of the client. Individual needs include, for example, the nature of other client assets and the client's personal and family obligations.

1. **A. Advisory Services and Fees.** (check the applicable boxes)

For each type of service provided, state the approximate % of total advisory billings from that service. Approx.  
(See instruction below.)

Applicant:

- |   |     |
|---|-----|
| (1) Provides investment supervisory services . . . . .  | 45% |
| (2) Manages investment advisory accounts not involving investment supervisory services . . . . .  | 20% |
| (3) Furnishes investment advice through consultations not included in either service described above . . . . .  | 20% |
| (4) Issues periodicals about securities by subscription . . . . .   | %   |
| (5) Issues special reports about securities not included in any service described above . . . . .   | %   |
| (6) Issues, not as part of any service described above, any charts, graphs, formulas, or other devices which clients may use to evaluate securities . . . . . | %   |
| (7) On more than an occasional basis, furnishes advice to clients on matters not involving securities . . . . .   | 15% |
| (8) Provides a timing service . . . . .   | %   |
| (9) Furnishes advice about securities in any manner not described above . . . . .   | %   |

(Percentages should be based on applicant's last fiscal year. If applicant has not completed its first fiscal year, provide estimates of advisory billings for that year and state that the percentages are estimates.)

	Yes	No
B. Does the applicant call any of the services it checked above financial planning or some similar term? . . . . .		

## C. Applicant offers investment advisory services for: (check all that apply):

- |  |                       |
|--|-----------------------|
| (1) A percentage of assets under management      | (4) Subscription fees |
| (2) Hourly charges                               | (5) Commissions       |
| (3) Fixed fees (not including subscription fees) | (6) Other             |

## D. For each checked box in A above, describe on Schedule F:

- the services provided, including the name of any publication or report issued by the adviser on a subscription basis or for a fee
- applicant's basic fee schedule, how fees are charged and whether its fees are negotiable

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

- when compensation is payable, and if compensation is payable before service is provided, how a client may get a refund or may terminate an investment advisory contract before its expiration date

2. **Types of Clients** - Applicant generally provides investment advice to: (check those that apply)

- |                                     |  |
|-------------------------------------|--|
| A. Individuals                      | E. Trusts, estates, or charitable organizations                    |
| B. Banks or thrift institutions     | F. Corporations or business entities other than those listed above |
| C. Investment companies             | G. Other (describe on Schedule F)                                  |
| D. Pension and profit sharing plans |  |

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

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Applicant:

Red Rock Wealth Management, LLC

SEC File Number:

801-

Date:

04/29/2009

**3. Types of Investments.** Applicant offers advice on the following: (check those that apply)

- |  |  |
|--|--|
| A. Equity Securities                   | H. United States government securities     |
| (1) exchange-listed securities         |  |
| (2) securities traded over-the-counter | I. Options contracts on:                   |
| (3) foreign issues                     | (1) securities                             |
|  | (2) commodities                            |
| B. Warrants                            |  |
|  | J. Futures contracts on:                   |
| C. Corporate debt securities           | (1) tangibles                              |
| (other than commercial paper)          | (2) intangibles                            |
|  |  |
| D. Commercial paper                    | K. Interests in partnerships investing in: |
|  | (1) real estate                            |
| E. Certificates of deposit             | (2) oil and gas interests                  |
|  | (3) other (explain on Schedule F)          |
| F. Municipal securities                |  |
|  | L. Other (explain on Schedule F)           |
| G. Investment company securities       |  |
| (1) variable life insurance            |  |
| (2) variable annuities                 |  |
| (3) mutual fund shares                 |  |

**4. Methods of Analysis, Sources of Information, and Investment Strategies.**

## A. Applicant's security analysis methods include: (check those that apply)

- |                 |                                   |
|-----------------|-----------------------------------|
| (1) Charting    | (4) Cyclical                      |
| (2) Fundamental | (5) Other (explain on Schedule F) |
| (3) Technical   |                                   |

## B. The main sources of information applicant uses include: (check those that apply)

- |  |                     |
|--|---------------------|
| (1) Financial newspapers and magazines | (5) Timing services |
|--|---------------------|

**Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).**

- |   |   |
|---|---|
| (2) Inspections of corporate activities   | (6) Annual reports, prospectuses, filings with the Securities and Exchange Commission |
| (3) Research materials prepared by others | (7) Company press releases  |
| (4) Corporate rating services             | (8) Other (explain on Schedule F)   |

C. The investment strategies used to implement any investment advice given to clients include: (check those that apply)

- |  |   |
|--|---|
| (1) Long term purchases<br>(securities held at least a year) | (5) Margin transactions   |
| (2) Short term purchases<br>(securities sold within a year)  | (6) Option writing, including covered options,<br>uncovered options or spreading strategies |
| (3) Trading (securities sold within 30 days)                 | (7) Other (explain on Schedule F)   |
| (4) Short sales  |   |

**Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).**

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Applicant:	SEC File Number:	Date:
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**5. Education and Business Standards.**

Are there any general standards of education or business experience that applicant requires of those involved in determining or giving investment advice to clients? . . . . . Yes No

(If yes, describe these standards on Schedule F.)

**6. Education and Business Background.**

For:

- each member of the investment committee or group that determines general investment advice to be given to clients, or
- if the applicant has no investment committee or group, each individual who determines general investment advice given to clients (if more than five, respond only for their supervisors)
- each principal executive officer of applicant or each person with similar status or performing similar functions.

On Schedule F, give the:

- |                 |  |
|-----------------|--|
| • name          | • formal education after high school               |
| • year of birth | • business background for the preceding five years |

**7. Other Business Activities. (check those that apply)**

- A. Applicant is actively engaged in a business other than giving investment advice.
- B. Applicant sells products or services other than investment advice to clients.
- C. The principal business of applicant or its principal executive officers involves something other than providing investment advice.

(For each checked box describe the other activities, including the time spent on them, on Schedule F.)

**8. Other Financial Industry Activities or Affiliations. (check those that apply)**

- A. Applicant is registered (or has an application pending) as a securities broker-dealer.
- B. Applicant is registered (or has an application pending) as a futures commission merchant, commodity pool operator or commodity trading adviser.

**Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).**

C. Applicant has arrangements that are material to its advisory business or its clients with a related person who is a:

- |  |   |
|--|---|
| (1) broker-dealer  | (7) accounting firm                                       |
| (2) investment company   | (8) law firm  |
| (3) other investment adviser   | (9) insurance company or agency                           |
| (4) financial planning firm  | (10) pension consultant                                   |
| (5) commodity pool operator, commodity trading<br>adviser or futures commission merchant | (11) real estate broker or dealer                         |
| (6) banking or thrift institution  | (12) entity that creates or packages limited partnerships |

(For each checked box in C, on Schedule F identify the related person and describe the relationship and the arrangements.)

D. Is applicant or a related person a general partner in any partnership in which clients are solicited to invest? ..... Yes No

(If yes, describe on Schedule F the partnerships and what they invest in.)

**Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).**



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Applicant:	SEC File Number:	Date:
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**9. Participation or Interest in Client Transactions.**

Applicant or a related person: (check those that apply)

- A. As principal, buys securities for itself from or sells securities it owns to any client.
- B. As broker or agent effects securities transactions for compensation for any client.
- C. As broker or agent for any person other than a client effects transactions in which client securities are sold to or bought from a brokerage customer.
- D. Recommends to clients that they buy or sell securities or investment products in which the applicant or a related person has some financial interest.
- E. Buys or sells for itself securities that it also recommends to clients.

(For each box checked, describe on Schedule F when the applicant or a related person engages in these transactions and what restrictions, internal procedures, or disclosures are used for conflicts of interest in those transactions.)

- 10. Conditions for Managing Accounts.** Does the applicant provide investment supervisory services, manage investment advisory accounts or hold itself out as providing financial planning or some similarly termed services *and* impose a minimum dollar value of assets or other conditions for starting or maintaining an account? ..... Yes No

(If yes, describe on Schedule F.)

- 11. Review of Accounts.** If applicant provides investment supervisory services, manages investment advisory accounts, or holds itself out as providing financial planning or some similarly termed services:

- A. Describe below the reviews and reviewers of the accounts. **For reviews**, include their frequency, different levels, and triggering factors. **For reviewers**, include the number of reviewers, their titles and functions, instructions they receive from applicant on performing reviews, and number of accounts assigned each.

See response on Schedule F, Item 11A. Upon client's request, more frequent reviews may be conducted.

- B. Describe below the nature and frequency of regular reports to clients on their accounts.

**Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).**

See response on Schedule F, Item 11A. In addition, periodic account statements are made available to the client, no less frequently than quarterly.

**Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).**

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Applicant:	SEC File Number:	Date:
Red Rock Wealth Management, LLC	801-	04/29/2009

**12. Investment or Brokerage Discretion.**

A. Does applicant or any related person have authority to determine, without obtaining specific client consent, the:

(1) securities to be bought or sold? . . . . .

Yes No

(2) amount of the securities to be bought or sold ? . . . . .

Yes No

(3) broker or dealer to be used ? . . . . .

Yes No

(4) commission rates paid? . . . . .

Yes No

B. Does applicant or a related person suggest brokers to clients? . . . . .

Yes No

For each yes answer to A describe on Schedule F any limitations on the authority. For each yes to A(3), A(4) or B, describe on Schedule F the factors considered in selecting brokers and determining the reasonableness of their commissions. If the value of products, research and services given to the applicant or a related person is a factor, describe:

- the products, research and services
- whether clients may pay commissions higher than those obtainable from other brokers in return for those products and services
- whether research is used to service all of applicant's accounts or just those accounts paying for it; and
- any procedures the applicant used during the last fiscal year to direct client transactions to a particular broker in return for products and research services received.

**13. Additional Compensation.**

Does the applicant or a related person have any arrangements, oral or in writing, where it:

A. Is paid cash by or receives some economic benefit (including commissions, equipment or non-research services) from a non-client in connection with giving advice to clients? . . . . .

Yes No

B. Directly or indirectly compensates any person for client referrals? . . . . .

Yes No

(For each yes, describe the arrangements on Schedule F.)

**14. Balance Sheet.** Applicant must provide a balance sheet for the most recent fiscal year on Schedule G if applicant:

**Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).**

- has custody of client funds or securities; or
- requires prepayment of more than \$500 in fees per client and 6 or more months in advance

Has applicant provided a Schedule G balance sheet? . . . . .

Yes    No

**Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).**