

**FORM ADV****Uniform Application for Investment Adviser Registration****Part II - Page 1**

OMB APPROVAL  
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Name of Investment Adviser: Horizon Wealth Group, LLC					
Address: (Number and Street)	(City)	(State)	(Zip Code)	Area Code	Telephone Number
12647 Alcosta Blvd. Suite 135	San Ramon	CA	94583	925	904-0007

**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 governmental 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.)

Potential Persons who are not to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

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Part II - Page 2**

Applicant:  
Horizon Wealth Group, LLC

SEC File Number:  
801- 68236

Date:  
9/3-2007

**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. (See instruction below.)

**Applicant:**

- |   |       |
|---|-------|
| <input checked="" type="checkbox"/> (1) Provides investment supervisory services  | 100 % |
| <input type="checkbox"/> (2) Manages investment advisory accounts not involving investment supervisory services   | ___ % |
| <input type="checkbox"/> (3) Furnishes investment advice through consultations not included in either service described above   | ___ % |
| <input type="checkbox"/> (4) Issues periodicals about securities by subscription  | ___ % |
| <input type="checkbox"/> (5) Issues special reports about securities not included in any service described above  | ___ % |
| <input type="checkbox"/> (6) Issues, not as part of any service described above, any charts, graphs, formulas, or other devices which client may use to evaluate securities | ___ % |
| <input type="checkbox"/> (7) On more than an occasional basis, furnishes advice to clients on matters not involving securities  | ___ % |
| <input type="checkbox"/> (8) Provides a timing service  | ___ % |
| <input type="checkbox"/> (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 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)

- |  |   |
|--|---|
| <input checked="" type="checkbox"/> (1) A percentage of assets under management      | <input type="checkbox"/> (4) Subscription fees      |
| <input type="checkbox"/> (2) Hourly charges  | <input checked="" type="checkbox"/> (5) Commissions |
| <input checked="" type="checkbox"/> (3) Fixed fees (not including subscription fees) | <input type="checkbox"/> (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
- 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)

- |  |   |
|--|---|
| <input checked="" type="checkbox"/> A. Individuals           | <input checked="" type="checkbox"/> E. Trusts, estates, or charitable organizations         |
| <input type="checkbox"/> B. Banks or thrift institutions     | <input type="checkbox"/> F. Corporations or business entities other than those listed above |
| <input type="checkbox"/> C. Investment companies             | <input type="checkbox"/> G. Other (describe on Schedule F)                                  |
| <input type="checkbox"/> 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:  
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Date:  
9/3/2007

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

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

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

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

- |   |  |
|---|--|
| (1) <input checked="" type="checkbox"/> Charting    | (4) <input checked="" type="checkbox"/> Cyclical           |
| (2) <input checked="" type="checkbox"/> Fundamental | (5) <input type="checkbox"/> Other (explain on Schedule F) |
| (3) <input checked="" type="checkbox"/> Technical   |  |

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

- |   |   |
|---|---|
| (1) <input checked="" type="checkbox"/> Financial newspapers and magazines    | (5) <input type="checkbox"/> Timing services  |
| (2) <input type="checkbox"/> Inspections of corporate activities              | (6) <input checked="" type="checkbox"/> Annual reports, prospectuses, filings with the Securities and Exchange Commission |
| (3) <input checked="" type="checkbox"/> Research materials prepared by others | (7) <input checked="" type="checkbox"/> Company press releases  |
| (4) <input type="checkbox"/> Corporate rating services                        | (8) <input type="checkbox"/> Other (explain on Schedule F)  |

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

- |   |  |
|---|--|
| (1) <input checked="" type="checkbox"/> Long term purchases (securities held at least a year) | (5) <input type="checkbox"/> Margin transactions   |
| (2) <input checked="" type="checkbox"/> Short term purchases (securities sold within a year)  | (6) <input type="checkbox"/> Option writing, including covered options, uncovered options, or spreading strategies |
| (3) <input checked="" type="checkbox"/> Trading (securities sold within 30 days)              | (7) <input type="checkbox"/> Other (explain on Schedule F)   |
| (4) <input type="checkbox"/> 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:  
Horizon Wealth Group, LLC

SEC File Number:  
801- 68236

Date:

**5. Education and Business Standards.**

Yes No

Are there any general standards of education or business experience that applicant requires of those involved in determining or giving investment advice to clients?..... ☐ ☒

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

- |  |  |
|--|--|
| <input checked="" type="checkbox"/> (1) broker-dealer  | <input type="checkbox"/> (7) accounting firm                                       |
| <input type="checkbox"/> (2) investment company  | <input type="checkbox"/> (8) law firm  |
| <input type="checkbox"/> (3) other investment adviser  | <input type="checkbox"/> (9) insurance company or agency                           |
| <input type="checkbox"/> (4) financial planning firm   | <input type="checkbox"/> (10) pension consultant                                   |
| <input type="checkbox"/> (5) commodity pool operator, commodity trading adviser or futures commission merchant | <input type="checkbox"/> (11) real estate broker or dealer                         |
| <input type="checkbox"/> (6) banking or thrift institution   | <input type="checkbox"/> (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.)

Yes No

- D. Is applicant or a related person a general partner in any partnership in which clients are solicited to invest?... ☐ ☒

(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).

Applicant:  
Horizon Wealth Group, LLC

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Date:

**9. Participation of 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.)

Describe, on Schedule F, your code of ethics, and state that you will provide a copy of your code of ethics to any client or prospective client upon request.

- 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 triggers 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.

Client reviews occur on a quarterly basis. Each review contains the following format: 1. Review of past quarter, investment performance, allocation goals vs. actual. 2. Any new information relating to client financial profile, needs, goals, or other adjustments. 3. Discussion of existing economic factors. 4. Proposed amendments or adjustments to investment strategy if deemed necessary. 5. Establishing timetable for next meeting/review.

Two advisors are utilized to conduct the client review process, both of which are managing partners in the advisory firm. They create the investment strategy and implement within client portfolios, customized to meet the individual clients risk profile and needs based on analysis. The plan is proposed by the advisor, but must be approved by the client prior to implementation.

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

Account statements are sent monthly to clients. Comprehensive reviews are conducted on quarterly basis regardless of asset size.

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

**Form ADV  
Part II - Page 6**Applicant:  
Horizon Wealth Group, LLCSEC File Number:  
801- 68236

Date:

**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 <input checked="" type="checkbox"/> | No <input type="checkbox"/>            |
| (2) amount of the securities to be bought or sold? ..... | Yes <input checked="" type="checkbox"/> | No <input type="checkbox"/>            |
| (3) broker or dealer to be used? .....                   | Yes <input type="checkbox"/>            | No <input checked="" type="checkbox"/> |
| (4) commission rates paid? .....                         | Yes <input type="checkbox"/>            | No <input checked="" type="checkbox"/> |

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 commission 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 <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| B. directly or indirectly compensates any person for client referrals? .....  | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |

(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:

- |  |                          |                                     |
|--|--------------------------|-------------------------------------|
| • has custody of client funds or securities (unless applicant is registered or registering only with the Securities and Exchange Commission); or | Yes                      | No                                  |
| • requires prepayment of more than \$500 in fees per client and 6 or more months in advance  | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Has applicant provided a Schedule G balance sheet? .....   |                          |                                     |

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

**Schedule F of  
Form ADV  
Continuation Sheet for Form ADV  
Part II**

Applicant:  Horizon Wealth Group, LLC	SEC File Number:  801- 68236	Date:  9/4/2007
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(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Horizon Wealth Group, LLC		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
<b>Part II, No. 1-A</b>	<p>Horizon Wealth Group, LLC. charges fees for financial planning and investment advice. (Financial planning includes tax planning, insurance planning, retirement planning and estate planning. Financial planning services may include consultations and/or written plans, which analyze a client's financial situation and makes appropriate recommendations for strategies and methods of implementation of the strategies.)The applicant manages client accounts- on a discretionary basis- for a percentage of the assets under its management.</p> <p>The annual negotiable fee ranges upwards from 0 to 2%, depending on the size and complexity of a client's account. The fee is paid quarterly, at the end of each quarter. If the client cancels, any prepaid fees will be refunded on a pro-rated basis.</p> <p>Horizon offers separate account management with client portfolios managed by Advanced Equities Asset Management ("AEAM"), through AEAM's US Equity Program, for one all-inclusive fee. In this program, Horizon IARs offer investment advisory services and guidance in determining the appropriate ETF Select portfolio in which to invest. Other services included in the programs are trade execution, custody and performance reporting. Horizon offers these consulting services to individuals, pension and profit sharing plans, trusts, estates or charitable organizations, and corporate entities.</p> <p>NOTE: Clients may be able to obtain similar services elsewhere for less cost and may terminate at any time.</p>	
<b>Part II, No. 6</b>	<p>Agahi, Sean Hooman: Born in 1958; during the past 5 years has been a securities registered representative with Geneos Wealth Management (2002-2007) and First Allied Securities, Inc.. (2007-Present).</p> <p>Luippold, James Blair: Born in 1969; during the past 5 years has been a securities registered representative with Geneos Wealth Management (2002-2007) and First Allied Securities, Inc. (2007-Present).</p> <p>Ortale, Anthony Rod: Born in 1969; during the past 5 years has been a registered rep with TD Ameritrade (1999-2007) and First Allied Securities, Inc. (2007-Present)</p>	
<b>Part II, No. 8-C (1)</b>	<p>Sean Agahi, James Luippold, and Anthony Ortale are licensed to sell, for sales commissions, securities through First Allied Securities, Inc.</p>	

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

**Schedule F of  
Form ADV  
Continuation Sheet for Form ADV  
Part II**

Applicant:  Horizon Wealth Group, LLC	SEC File Number:  801- 68236	Date:  9/4/2007
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(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Horizon Wealth Group, LLC		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
Part II, No. 9-B, E	<p><b>PARTICIPATION OR INTEREST IN CLIENT TRANSACTIONS.</b></p> <p>The principal officers and other of Horizon Wealth Group, LLC, as licensed registered representatives of a broker/dealer, are able to effect securities transactions for separate and typical compensation. Those licensed individuals may recommend their broker/dealer to our advisory clients; however, clients are under no obligation to effect transactions through any recommended broker or dealer. We advise you, the client, that you are not under any obligation to engage these individuals when considering implementation of any advisory recommendations made by us.</p> <p>Horizon Wealth Group, LLC and its employees may buy or sell securities identical to those recommended to our clients. It is our express policy that any person employed by us is prohibited from profiting at the expense of our clients and from competing with our clients.</p> <p>Horizon Wealth Group has adopted a Code of Ethics, which establishes rules of conduct for all employees of Horizon Wealth Group, LLC and is designed to, among other things, govern personal securities trading activities in the accounts of employees. The Code is based upon the principle that Horizon Wealth Group, LLC and its employees owe a fiduciary duty to Horizon Wealth Group, LLC's clients to conduct their affairs, including their personal securities transactions, in such a manner as to avoid (i) serving their own personal interests ahead of clients, (ii) taking inappropriate advantage of their position with the firm and (iii) any actual or potential conflicts of interest or any abuse of their position of trust and responsibility. (iv) must comply with the Federal Securities Laws; and (v) must safeguard nonpublic information.</p> <p><b>Procedures and Disclosures</b></p> <p>The code of ethics and other procedures adopted by Horizon Wealth Management contain the following provisions to handle conflicts of interest:</p> <p>1) We maintain records of all securities holdings for our clients, our self, our employees and anyone associated with our advisory practice. These holdings are reviewed on a regular basis by our compliance personnel.</p> <p>2) No individual shall cause or attempt to cause any of our clients to purchase, sell or hold any interest in a security in a manner calculated to create any personal benefit or benefit any employee account. No officer or employee of Horizon Wealth Management shall buy or sell securities for their personal portfolio(s) where their decision is substantially derived, in whole or in part, by reason of his or her employment unless the information is also available to the investing public upon reasonable inquiry.</p> <p>3) Each officer and employee of Horizon Wealth Group submits quarterly reports and acknowledges the firm's policies and procedures with respect to its code of ethics on an annual basis.</p>	

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 2



**Schedule F of  
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Continuation Sheet for Form ADV  
Part II**

Applicant:  Horizon Wealth Group, LLC	SEC File Number:  801-68236	Date:  9/4/2007
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(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV:		IRS Empl. Ident. No.:
Horizon Wealth Group, LLC Item of Form (identify)	Answer	
<p><b>Part II No.12-A (1,2,3)</b></p> <p><b>Part II No.12-B</b></p>	<p>4) Each employee's personal trading accounts are reviewed on a regular basis by compliance personnel.</p> <p>5) Any employee not in observance of the above may be subject to disciplinary action, and possible termination.</p> <p>Horizon Wealth Group, LLC manages client accounts on a discretionary basis. It limits its discretionary authority by prohibiting itself from withdrawing funds and/or securities from client accounts. In addition, discretionary transactions are limited to general securities, mutual funds, options and government securities. Clients wishing to implement the applicant's advice are free to select any broker they wish, and are so informed.</p> <p>Those wishing for the applicant to recommend a broker will get a recommendation based on the broker's costs, skills, reputation, dependability and compatibility with the client. NOTE: Clients may be able to obtain lower commissions and fees from other brokers and the value of products, research and services given to the applicant is not a factor in determining the selection of broker/dealers or the reasonableness of their commissions.</p> <p><b>Privacy Policy Statement</b></p> <p>Horizon Wealth Group, LLC. provides investment services by means of its own internal operation and unaffiliated third-party service and product providers (for example, your account custodian or a money manager) at your election. The account custodian processes the investment transactions for your account. This firm and the product and service providers receive and maintain information about you that is related to your account.</p> <p><b>WHERE DO WE OBTAIN THE INFORMATION.</b> The information that we have comes directly from you. This includes such information as your name, address and Social Security number that you provided on applications, agreements or other forms. In addition, we maintain records of each of your transactions and holdings at the product and service provider that are processed through this firm.</p> <p><b>TO WHOM DO WE DISCLOSE THE INFORMATION.</b> We provide information about current or former clients from the sources described above to parties outside of our firm only as described below: To other companies as necessary to process your business. For example, we process your investment instructions through product and service providers with whom we have business agreements. The information that we obtained from you is given to the product and service providers for purposes of effecting transactions in your account and preparing your account statements. These parties must limit their use of the information to the purpose for which it was provided. Where required by law or regulation. Examples include responses to a subpoena, court order or regulatory demand. As authorized by you. You may direct us, for example, to send account statements or other account</p>	

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 3

**Schedule F of  
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Continuation Sheet for Form ADV  
Part II**

Applicant: Horizon Wealth Group, LLC	SEC File Number: 801- 68236	Date: 9/4/2007
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(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Horizon Wealth Group, LLC		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
	<p>information to a third party. As otherwise authorized or permitted by law. For example, the law permits us to respond to requests for information on you from a consumer-reporting agency.</p> <p>CONFIDENTIALITY AND SECURITY. We restrict access to information about you to those employees and authorized agents who need to know that information in order to provide products or services to you. We maintain physical, electronic and procedural safeguards as outlined in the attached policy statement to maintain the confidentiality of your information. We will continue to maintain such security even if you discontinue the service relationship.</p>	

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 4

(for sponsors of wrap fee programs)

Name of wrap fee program or programs described in attached brochure:

1. **Applicability of Schedule.** This Schedule must be completed by applicants that are compensated under a wrap fee program for sponsoring, organizing, or administering the program, or for selecting, or providing advice to clients regarding the selection of, other investment advisers in the program ("sponsors"). A wrap fee program is any program under which a specified fee or fees not based directly upon transactions in a client's account is charged for investment advisory services (which may include portfolio management or advice concerning the selection of other investment advisers) and execution of client transactions.
2. **Use of Schedule.** This Schedule sets forth the information the sponsor must include in the wrap fee brochure it is required to deliver or offer to deliver to clients and prospective clients of its wrap fee programs under Rule 204-3 under the federal Advisers Act and similar rules of the jurisdictions. The wrap fee brochure prepared in response to this Schedule must be filed with the Commission and the jurisdictions as part of Form ADV by completing the identifying information on this Schedule and attaching the brochure. Brochures should be prepared separately, not on copies of this Schedule. Any wrap fee brochure filed with the Commission as part of an amendment for Form ADV shall contain in the upper right hand corner of the cover page the sponsor's registration number (801- ).
3. **General Contents of Brochure.** Unlike Parts I and II of this form, this Schedule is not organized in "check-the-box" format. These instructions, including the requests for information in Item 7 below, should not be repeated in the brochure. Rather, this Schedule describes minimum disclosures that must be made in the brochure to satisfy the sponsor's duty to disclose all material facts about the sponsor and its wrap fee programs. **Nothing in this Schedule relieves the sponsor from any obligation under any provision of the federal Advisers Act or rules thereunder, or other federal or state law to disclose information to its advisory clients or prospective advisory clients not specifically required by this Schedule.**
4. **Multiple Sponsors.** If two or more persons fall within the definition of "sponsor" in Item 1 above for a single wrap fee program, only one such sponsor need complete the Schedule. The sponsors may choose among themselves the sponsor that will complete the Schedule.
5. **Omission of Inapplicable Information.** Any information not specifically required by this Schedule that is included in the brochure should be applicable to clients and prospective clients of the sponsor's wrap fee programs. If the sponsor is required to complete this Schedule with respect to more than one wrap fee program, the sponsor may omit from the brochure furnished to clients and prospective clients of any wrap fee program or programs information required by this Schedule that is not applicable to clients or prospective clients of that wrap fee program or programs. If a sponsor of more than one wrap fee program prepares separate wrap fee brochures for clients of different programs, each brochure prepared must be filed with the Commission and the jurisdictions attached to a separate copy of this Schedule. Each such brochure must state that the sponsor sponsors other wrap fee programs and state how brochures for those programs may be obtained.
6. **Updating.** Sponsors are required to file an amendment to the brochure promptly after any information in the brochure becomes materially inaccurate. Amendments may be made by use of a "sticker," *i.e.*, a supplement affixed to the brochure that indicates what information is being added or updated and states the new or revised information, as long as the resulting brochure is readable. Stickers should be dated and should be incorporated into the text of the brochure when the brochure itself is revised.
7. **Contents of Brochure.** Include in the brochure prepared in response to this Schedule:
  - (a) on the cover page, the sponsor's name, address, telephone number, and the following legend in bold type or some other prominent fashion:

**This brochure provides clients with information about [name of sponsor] and the [name of program or programs] that should be considered before becoming a client of the [name of program or programs]. This information has not been approved or verified by any governmental authority.**
  - (b) a table of contents reflecting the subject headings in the sponsor's brochure;
  - (c) the amount of the wrap fee charged for each program or, if fees vary according to a schedule established by the sponsor, a table setting forth the fee schedule, whether such fees are negotiable, the portion of the total fee (or the range of such amounts) paid to persons providing advice to clients regarding the purchase or sale of specific securities under the program ("portfolio managers"), and the services provided under each program (including the types of portfolio management services);

Applicant:  
Horizon Wealth Group, LLC

SEC File Number:  
801-68236

DATE:  
September 10, 2007

- (d) a statement that the program may cost the client more or less than purchasing such services separately and a statement of the factors that bear upon the relative cost of the program (e.g., the cost of the services if provided separately and the trading activity in the client's account);
- (e) if applicable, a statement that the person recommending the program to the client receives compensation as a result of the client's participation in the program, that the amount of this compensation may be more than what the person would receive if the client participated in other programs of the sponsor or paid separately for investment advice, brokerage, and other services, and that the person may therefore have a financial incentive to recommend the wrap fee program over other programs or services;
- (f) a description of the nature of any fees that the client may pay in addition to the wrap fee and the circumstances under which these fees may be paid (including, if applicable, mutual fund expenses and mark-ups, mark-downs or spreads paid to market makers from whom securities were obtained by the wrap fee broker);
- (g) how the program's portfolio managers are selected and reviewed, the basis upon which portfolio managers are recommended or chosen for particular clients, and the circumstances under which the sponsor will replace or recommend the replacement of the portfolio manager;
- (h) (1) if applicable, a statement to the effect that portfolio manager performance information is not reviewed by the sponsor or a third party and/or that performance information is not calculated on a uniform and consistent basis,  
(2) if performance information is reviewed to determine its accuracy, the name of the party who reviews the information and a brief description of the nature of the review,  
(3) a reference to any standards (i.e., industry standards or standards used solely by the sponsor) under which performance information may be calculated;
- (i) a description of the information about the client that is communicated by the sponsor to the client's portfolio manager, and how often or under what circumstances the sponsor provides updated information about the client to the portfolio manager.
- (j) any restrictions on the ability of clients to contact and consult with portfolio managers;
- (k) in narrative text, the information required by Items 7 and 8 of Part II of this form and, as applicable to clients of the wrap fee program, the information required by Items 2, 5, 6, 9A and C, 10, 11, 13 and 14 of Part II;
- (l) if any practice or relationship disclosed in response to Item 7, 8, 9A, 9C and 13 of Part II presents a conflict between the interests of the sponsor and those of its clients, explain the nature of any such conflict of interest; and
- (m) if the sponsor or its divisions or employees covered under the same investment adviser registration as the sponsor act as portfolio managers for a wrap fee program described in the brochure, a brief, general description of the investments and investment strategies utilized by those portfolio managers.

**8. Organization and Cross References.** Except for the cover page requirements in item 7(a) above, information contained in the brochure need not follow the order of the items listed in Item 7. However, the brochure should not be organized in such a manner that important information called for by the form is obscured.

Set forth below the page(s) of the brochure on which the various disclosures required by Item 7 are provided.

	Page(s)		Page(s)		Page(s)
Item 7(a)	cover	Item 7(f)	5	Item 7(j)	
# 7(b)	3	# 7(g)		# 7(k)	5-6
# 7(c)	4	# 7(h)	4	# 7(l)	5-6
# 7(d)	5	# 7(i)	4	# 7(m)	
# 7(e)	4-5				

Horizon Wealth Group, LLC.

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San Ramon, CA 94583  
(925) 244-6600

Wrap Fee Brochure

September 10, 2007

THIS BROCHURE PROVIDES CLIENTS WITH INFORMATION ABOUT HORIZON WEALTH GROUP, LLC AND ITS AEAM US EQUITY PROGRAM THAT SHOULD BE CONSIDERED BEFORE BECOMING AN AEAM US EQUITY CLIENT. THIS INFORMATION HAS NOT BEEN APPROVED OR VERIFIED BY ANY GOVERNMENTAL AUTHORITY.

## Horizon Wealth Group, LLC

### Wrap Fee Brochure

This brochure provides clients with information about Horizon Wealth Group, LLC and its AEAM US Equity Program wrap fee accounts.

The AEAM US Equity Program accounts described herein are available on an all-inclusive, wrap fee basis.

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## **INTRODUCTION**

Horizon Wealth Group, LLC (“Horizon”) and its affiliated investment adviser representatives (“IARs”) provide a variety of services designed to meet the varying investment advisory and related needs of individual clients. Horizon offers separate account management with client portfolios managed by Advanced Equities Asset Management (“AEAM”), through AEAM’s US Equity Program, for one all-inclusive fee. In this program, Horizon IARs offer investment advisory services and guidance in determining the appropriate ETF Select portfolio in which to invest. Other services included in the programs are trade execution, custody and performance reporting. Horizon offers these consulting services to individuals, trusts, estates or charitable organizations.

## **US EQUITY PROGRAM**

Clients in the US Equity Program work with a Horizon IAR to establish a portfolio managed by Advanced Equities Asset Management (“AEAM”) for the client’s account. Horizon, through its IARs, will obtain sufficient client information to be able to assist the client in determining investment objectives and financial goals. Horizon IARs assist clients in establishing an account custodied at Pershing, LLC for AEAM Portfolio Managers to trade on behalf of the client. Brokerage, trading, and account servicing are offered through First Allied Securities, Inc., a SEC registered investment adviser and registered broker/dealer, member FINRA and SIPC. Information collected from the client by Horizon representatives may be communicated to AEAM, FASI or Pershing to establish and service the client’s account.

Qualified AEAM employees manage the client’s portfolio on a discretionary basis, utilizing primarily highly liquid US-listed equities (including ADRs), although other securities may be included in the accounts, in the discretion of the Portfolio Manager. Horizon IARs do not exercise discretion in US Equity Program accounts.

The minimum for US Equity Program accounts is \$100,000. From time to time, account minimums may be waived under certain circumstances. Waivers may be granted in situations where a client intends to make additional contributions to the account sufficient to meet the minimum or if the IAR manages accounts for family members of the prospective client, bringing the overall family account values to the minimum account size, or if the client’s overall relationship with Horizon, AEAM or FASI affiliates is substantial.

Horizon IARs base investment decisions for client accounts on suitability information provided by the client, including birth date, income and net worth, employment information, account value, account holdings, investment objective, and any reasonable restrictions the client may place on the account. The client should notify Horizon in writing if client’s financial situation or investment objectives change or reasonable account restrictions change.

The client agrees that AEAM, not Horizon, will vote proxies relating to assets in the account(s). The client may revoke this authorization at any time in writing addressed to Horizon, indicating another person who will vote proxies in the account(s).

## **Reports/Account Reviews**

The client may receive Quarterly Performance Measurement Summary Reports for the account with a description of all account activity. The client may request these reports from the IAR at no additional charge. Individual client performance or AEAM composite performance is not currently reviewed by a third party.

The IAR servicing the account is responsible for reviewing the accounts on at least a quarterly basis. IARs are supervised by a DRP. The DRP is obliged to review the accounts at least quarterly and is responsible for ongoing supervision. In addition, the First Allied Compliance and Supervision Departments are provided with a variety of exception reports and undertake regular review to help identify problem situations. Exception reports are designed to detect transactions in designated securities, excessive transactions, front-running, and suitability issues, among others.

## **FEES**

### **Schedule of Fees**

The highest annual fee payable for US Equity Program accounts is 2.00% (0.50% per quarter), payable quarterly in advance, based on the asset value of the account(s) on the last calendar day of each calendar quarter. The fee will be payable on the business day following the end of the previous calendar quarter. The fee for the portion of the first quarter the account(s) is managed will be calculated on a pro rata basis. In the event a large deposit occurs mid-quarter, the fee will be recalculated at quarter-end and the account will be billed a second fee, in arrears, on the additional deposits.

Fees are negotiable based on a number of factors, which may result in a client paying a fee which is less than the highest annual fee, or more or less than other US Equity Program clients. Fees for accounts valued over \$2.5 million will be discounted 0.05%.

Horizon, FASI, Pershing and the IAR are compensated with a portion of the fee. The amount of this compensation may or

may not be more than that which would be received by the IAR if the client paid separately for investment advice, brokerage and other services, or participated in other programs. The IAR may therefore have a financial incentive to recommend the program over other programs and services.

AEAM is compensated with a portion of the fee. The amount of this compensation may or may not be more than AEAM would have received if the client paid separately for AEAM's or other third-party managers' investment advice or participated in other programs. AEAM may have a financial incentive to recommend the program over other programs or services.

## **INFORMATION ON ALL PROGRAMS**

### **Cost Comparisons: Wrap Fee vs. Non-Wrap Fee**

Clients who pay inclusive wrap fees for a variety of services may pay more or less for such services than if they purchase such services separately. Factors that bear upon the cost of a US Equity Program account in relation to the cost of the same services, if purchased separately, include the type and size of the account, the expected number of trades in the account, and the range of supplementary client related services provided with respect to the account, among other things.

### **Additional Information Regarding Fees and Charges**

The wrap fee described above shall include First Allied's brokerage services, Pershings' custodial services, and First Allied's other services to the account(s), including Quarterly Performance.

The fee will not include certain odd-lot differentials, transfer taxes, exchange fees, and other charges imposed by law on the execution of transactions in the account(s), or any brokerage or other charges for transactions not effected through First Allied. If the Adviser selects closed-end investment companies for the account(s), the client will pay its proportionate share of the investment companies' expenses, including such closed-end company's advisory fee.

The fee covers brokerage services only when transactions are executed through Pershing or another approved custodian. Programs discussed in this brochure are limited to specific custodians. Should the Adviser or client select another brokerage provider, the client may pay additional charges.

When the client selects mutual funds for all or a portion of its account(s), the client will pay its proportionate share of the mutual funds' fees and expenses, including management fees and shareholder servicing and/or distribution (Rule 12b-1) expenses, to the extent permitted by law. These fees and expenses are separate and distinct from the US Equity Program wrap fee charged. First Allied and Horizon IARs may receive Rule 12b-1 fees for distributing a fund's shares and/or providing services to shareholders, to the extent permitted by law. Shareholder services fees compensate First Allied for, among other things, handling purchases and sales of fund shares, maintaining records, providing clients with copies of prospectuses and other materials, assisting mutual funds in soliciting proxies, and responding to Client inquiries about share prices, balances, dividend amounts, and dividend payment dates.

### **Termination**

The account(s) may be terminated by either party with five (5) days written notice. Any pre-paid fees will be refunded to the client on a pro rata basis.

## **HORIZON WEALTH MANAGEMENT, LLC**

### **Other Business Activities:**

Principals and IARs of Horizon may be registered representatives of First Allied Securities, Inc., a registered securities broker dealer, a member of FINRA and Securities Investors Protection Corp.

First Allied is a wholly owned indirect subsidiary of Advanced Equities Financial Corp.

Advanced Equities Financial Corp. is a private holding company divided into two primary business units: (a) the Financial Services Group; and (b) the Capital Markets Group. The Financial Services Group engages primarily in retail and institutional securities brokerage, investment banking, private equities and asset management services through its subsidiaries, Advanced Equities, Inc., First Allied Securities Inc., First Advisors, Inc. FFP Securities, Inc., and Advanced Equities Asset Management, Inc. First Allied is part of the Financial Services Group. The Capital Markets Group primarily provides investment banking and late stage private equity financing to emerging companies through subsidiary Advanced Equities, Inc.

Advanced Equities, Inc. is a related broker/dealer and registered investment adviser. First Allied does not provide advice that is formulated by this related entity, nor does this related entity appear to present any potential conflicts of interest with First Allied's clients.



Greenbook Investment Management (“Greenbook”), Advanced Equities Asset Management (“AEAM”), and First Advisors, Inc. are related registered investment advisers. First Allied may utilize the investment management products and services of these firms from time to time. These products and services are described more fully in the Form ADV Part II of each firm. Potential conflicts of interest will be disclosed to clients who utilize these services through delivery of the respective Form ADV Part II.

First Allied Securities, Inc. is a member of the National Futures Association.

For material disclosures regarding First Allied Securities, Inc., the client may request a copy of First Allied’s Form ADV Part II from the Horizon IAR.

Current regulations place substantial limits on the ability of First Allied and its registered representatives to execute principal trades for investment advisory clients in, fixed income and certain other securities generally traded on a principal basis. Accordingly, trades involving such securities for clients of the programs described in this brochure generally are executed by dealers other than First Allied. Dealers executing principal trades typically include a mark-up or spread in the net price at which the transaction is executed. As a result, such trades will include the payment of mark-ups or similar compensation to such unaffiliated dealers.

Principal transactions in which First Allied buys or sells a security from its own inventory from or to a client, may be effected with investment management clients only after appropriate disclosure is made by First Allied and consent obtained from client. Significant conflicts of interest exist in principal transactions, including the possibility that the client could receive a better price if the trade were transacted in a non-principal capacity and First Allied’s incentive to generate a profit by buying or selling from its own inventory.

#### **Education and Business Background:**

Following is brief description including the name, year of birth, formal education after high school and business background for the preceding five years for each principal executive officer of Horizon or each person with similar status.

Agahi, Sean Hooman: Born in 1958; during the past 5 years has been a securities registered representative with Geneos Wealth Management (2002-2007) and First Allied Securities, Inc.. (2007-Present).

Luippold, James Blair: Born in 1969; during the past 5 years has been a securities registered representative with Geneos Wealth Management (2002-2007) and First Allied Securities, Inc. (2007-Present).

Ortale, Anthony Rod: Born in 1969; during the past 5 years has been a registered rep with TD Ameritrade (1999-2007) and First Allied Securities, Inc. (2007-Present)

**HORIZON WEALTH MANAGEMENT, LLC MAY OFFER OTHER ADVISORY SERVICES. INFORMATION ABOUT THESE PROGRAMS IS IN HORIZON’S FORM ADV PART II AND WILL BE FURNISHED UPON REQUEST.**