

OMB APPROVAL	
OMB Number:	3235-0049
Expires:	February 28, 2011
Estimated average burden hours per response .....	4.07

## FORM ADV

# Uniform Application for Investment Adviser Registration

## Part II - Page 1

Name of Investment Adviser: Logos Wealth Advisors, Inc.				
Address: (Number and Street)	(City)	(State)	(Zip Code)	Area Code: Telephone Number:
9327 Fairway View Place, Suite 106	Rancho Cucamonga	CA	91730	909-581-7120

**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.**

## Table of Contents

<u>Item Number</u>	<u>Item</u>	<u>Page</u>
1	Advisory Services and Fees .....	2
2	Types of Clients .....	2
3	Types of Investments .....	3
4	Methods of Analysis, Sources of Information and Investment Strategies .....	3
5	Education and Business Standards .....	4
6	Education and Business Background .....	4
7	Other Business Activities .....	4
8	Other Financial Industry Activities or Affiliations .....	4
9	Participation or Interest in Client Transactions .....	5
10	Conditions for Managing Accounts .....	5
11	Review of Accounts .....	5
12	Investment or Brokerage Discretion .....	6
13	Additional Compensation .....	6
14	Balance Sheet .....	6
	Continuation Sheet .....	Schedule F
	Balance Sheet, if required. ....	Schedule G

(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.)

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

Applicant:

Logos Wealth Advisors, Inc.

SEC File Number:

801- 70013

Date:

11/24/2009

## 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:

- |                                     |     |   |     |
|-------------------------------------|-----|---|-----|
| <input checked="" type="checkbox"/> | (1) | Provides investment supervisory services . . . . .  | 60% |
| <input checked="" type="checkbox"/> | (2) | Manages investment advisory accounts not involving investment supervisory services . . . . .  | 5%  |
| <input checked="" type="checkbox"/> | (3) | Furnishes investment advice through consultations not included in either service described above . . . . .  | 30% |
| <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 clients may use to evaluate securities . . . . . | %   |
| <input checked="" type="checkbox"/> | (7) | On more than an occasional basis, furnishes advice to clients on matters not involving securities . . . . .   | 5%  |
| <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.)

B. Does the applicant call any of the services it checked above financial planning or some similar term? . . . . .

Yes No  
☒ ☐

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 checked="" type="checkbox"/> | (2) | Hourly charges                               | <input 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 checked="" 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 checked="" 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).

Applicant:

Logos Wealth Advisors, Inc.

SEC File Number:

801- 70013

Date:

11/24/2009

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

- |  |  |
|--|--|
| <input checked="" type="checkbox"/> A. Equity Securities                   | <input checked="" type="checkbox"/> H. United States government securities     |
| <input checked="" type="checkbox"/> (1) exchange-listed securities         |  |
| <input checked="" type="checkbox"/> (2) securities traded over-the-counter | <input checked="" type="checkbox"/> I. Options contracts on:                   |
| <input checked="" type="checkbox"/> (3) foreign issues                     | <input checked="" type="checkbox"/> (1) securities                             |
|  | <input checked="" type="checkbox"/> (2) commodities                            |
| <input type="checkbox"/> B. Warrants                                       |  |
| <input checked="" type="checkbox"/> C. Corporate debt securities           | <input checked="" type="checkbox"/> J. Futures contracts on:                   |
| (other than commercial paper)  | <input checked="" type="checkbox"/> (1) tangibles                              |
|  | <input checked="" type="checkbox"/> (2) intangibles                            |
| <input checked="" type="checkbox"/> D. Commercial paper                    | <input checked="" type="checkbox"/> K. Interests in partnerships investing in: |
| <input checked="" type="checkbox"/> E. Certificates of deposit             | <input checked="" type="checkbox"/> (1) real estate                            |
| <input checked="" type="checkbox"/> F. Municipal securities                | <input checked="" type="checkbox"/> (2) oil and gas interests                  |
|  | <input type="checkbox"/> (3) other (explain on Schedule F)                     |
| <input checked="" type="checkbox"/> G. Investment company securities       | <input checked="" type="checkbox"/> L. Other (explain on Schedule F)           |
| <input checked="" type="checkbox"/> (1) variable life insurance            |  |
| <input checked="" type="checkbox"/> (2) variable annuities                 |  |
| <input checked="" type="checkbox"/> (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) <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 checked="" type="checkbox"/> Timing services   |
| (2) <input checked="" 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 checked="" 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<br>(securities held at least a year) | (5) <input checked="" type="checkbox"/> Margin transactions   |
| (2) <input checked="" type="checkbox"/> Short term purchases<br>(securities sold within a year)  | (6) <input checked="" type="checkbox"/> Option writing, including covered options,<br>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 checked="" type="checkbox"/> Short sales  |   |

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

**FORM ADV****Part II - Page 4**

Applicant:

Logos Wealth Advisors, Inc.

SEC File Number:

801- 70013

Date:

11/24/2009

**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.
- C. Applicant has arrangements that are material to its advisory business or its clients with a related person who is a:
- |  |  |
|--|--|
| <input 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 checked="" 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.)

- 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).

**FORM ADV****Part II - Page 5**

Applicant:

Logos Wealth Advisors, Inc.

SEC File Number:

801- 70013

Date:

11/24/2009

**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.

Paul R. Mata, President and Chief Compliance Officer, will attempt to review all accounts on a monthly basis. More frequent reviews may be necessary due to the client's individual circumstances, economic conditions, general factors affecting the stock market, etc.

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

Clients will receive transaction confirmations and monthly statements from their account custodians. Collectively, these reports will list client's account holdings, transactions and fees paid to Logos Wealth Advisors, Inc.

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:	SEC File Number:	Date:
Logos Wealth Advisors, Inc.	801- 70013	11/24/2009

**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 <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 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 <input checked="" type="checkbox"/> | No <input 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; 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 <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
|------------------------------|--|

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:

Logos Wealth Advisors, Inc.

SEC File Number:

801

Date:

11/24/2009

(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 Part I of Form ADV:

Logos Wealth Advisors, Inc.

IRS Empl. Ident. No.:

Item of Form  
(identify)

Answer

**Item 1D**

Logos Wealth Advisors, Inc. (hereinafter known as "LWA" or "Advisor") is a corporation formed under the laws of the State of California and domiciled in the state of California. LWA offers investment advisory services to individuals and high net worth individuals, pension and profit sharing plans, trusts, estates, charitable organizations, corporations and/or to other business entities. Advisor's services and fee arrangements are described in the following pages.

This Schedule F narrative provides Clients with information regarding LWA and the qualifications, business practices, and nature of advisory services that should be considered before becoming an advisory Client of LWA.

Additional information about LWA is available on the Internet at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You can search this site by a unique identifying number, known as a CRD number. The CRD number for LWA is 148522.

**Portfolio Management**

LWA will emphasize continuous and regular account supervision. LWA may create a portfolio, consisting of individual stocks or bonds; exchange traded funds, mutual funds and other securities. Our investment strategy will be tailored to the individual needs of the Client. Each portfolio will be initially designed to meet a particular investment goal, which LWA has determined to be suitable to the Client's circumstances. Once the appropriate portfolio has been determined, LWA will attempt to review the portfolio on a monthly basis, and at least on a quarterly basis, and if necessary, rebalance the portfolio based upon the Client's individual needs, stated goals and objectives. However, each Client will have the opportunity to place reasonable restrictions on the types of investments to be held in the portfolio.

Fees will be established by LWA's Client Agreement. Fees will be calculated monthly based on assets under management typically within a range of 0.50% to 3.0% and paid monthly in advance. Exceptions may be made to the published fee range under certain circumstances pursuant to a negotiated agreement with the Client. In the event that the Client terminates LWA's services before the end of the calendar month, Client shall be assessed a pro-rata fee based on the number of days the Client's account was managed by LWA.

Unless the Client requests direct billing, fees will be automatically deducted from the account. Clients will be provided with a monthly statement reflecting deduction of the advisory fee. LWA sends a copy of Client invoice to the custodian or trustee at the same time that LWA sends a copy to the client. The custodian sends monthly statements to LWA's clients showing all disbursements for the custodian account, including the amount of the advisory fees. Clients provide written authorization permitting LWA to be paid directly for their accounts held by the custodian or trustee.

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:

Logos Wealth Advisors, Inc.

SEC File Number:

801

Date:

11/24/2009

(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 Part I of Form ADV:

Logos Wealth Advisors, Inc.

IRS Empl. Ident. No.:

Item of Form  
(identify)

Answer

Item 1D  
(Continued)

LWA hereby discloses that Clients may receive the same or comparable services from other Financial Advisors at a lower fee. Pursuant to California Code of Regulations, 10 CCR Section 260.235.2, LWA discloses that it may utilize various firms for the execution of securities transactions and to custody assets. In certain cases, Advisor may recommend that clients execute transactions through unaffiliated broker-dealers further described in Item 12.B of Schedule F. In any event, Client is under no obligation to act upon Advisor's recommendations and if the Client elects to act on any of the recommendations, the Client is under no obligation to effect the transaction through Advisor, or any of the unaffiliated broker-dealers listed in Item 12.B of Schedule F.

LWA's fee schedule does not include the following separately billed fees, which adviser does not receive any part of: mutual fund expenses, trading and custodial costs. These fees will be separately charged by the relevant parties and borne by the Client.

Either party may terminate the agreement at any time by providing written notice to the other party. Full refunds will only be made in cases where cancellation occurs within five (5) business days of signing the Advisor's investment advisory agreement. After five (5) business days, clients will receive pro-rata refunds, which take into account work completed by the Advisor on behalf of the client. The client will incur charges for bona fide advisory services rendered to the point of termination and such fees will be due and payable by the client. Refunds will be given on a pro-rata basis.

LWA's advisory fee shall be negotiable in certain cases. No increase in the annual fee shall be effective without prior written notification to the Client.

No portion of LWA's compensation shall be based on capital gains or capital appreciation of the Assets except as provided for under the California State statutes and rules.

**Financial Planning/Financial Consulting**

LWA will typically provide a variety of financial planning services, pursuant to a written Agreement, to individuals, families and other clients regarding the management of their financial resources based upon an analysis of client's current situation, goals, and objectives. Generally, such financial planning services will involve preparing a financial plan or rendering a financial consultation for clients based on the client's financial goals and objectives. This planning or consulting may encompass one or more of the following areas: investment planning, retirement planning, estate planning, charitable planning, education planning, and business planning.

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:

Logos Wealth Advisors, Inc.

SEC File Number:

801

Date:

11/24/2009

(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 Part I of Form ADV:

Logos Wealth Advisors, Inc.

IRS Empl. Ident. No.:

Item of Form  
(identify)

Answer

Item 1D  
(Continued)

The plan developed for or financial consultation rendered to the client will usually include general recommendations for a course of activity or specific actions to be taken by the clients. For example, recommendations may be made that the clients begin or revise investment programs, create or revise wills or trusts, obtain or revise insurance coverage, commence or alter retirement savings, or establish education or charitable giving programs. LWA may also refer clients to an accountant, attorney or other specialist. For planning engagements, Advisor will provide a written summary of Client's financial situation, observations, and recommendations. For consulting engagements, Advisor may not provide a written summary. Plans or consultations are typically completed within six months of contract date, assuming all information and documents requested are provided promptly.

**FEE SCHEDULE: Financial Planning/Financial Consulting**

Advisor offers financial planning services on an hourly basis for \$250 per hour, which may be negotiable depending on the nature and complexity of each client's circumstances. An estimate for total hours will be determined at the start of the advisory relationship.

The Advisor's fee is exclusive of, and in addition to brokerage commissions, transaction fees, and other related costs and expenses which shall be incurred by the client. However, the Advisor shall not receive any portion of these commissions, fees, and costs. The hourly fees are determined after considering many factors, such as the level and scope of the services.

The Advisor may also charge a negotiable fixed fee ranging from \$500 to \$5,000 for a financial plan, the total of which is dependent upon the level and scope of these services. One half of the total estimated fixed and hourly fees are due and payable at the time the client's agreement is executed, the remainder of the fees are due upon presentation of a plan or the rendering of consulting services. Financial plans will be presented to the clients within 6 months of the contract date, provided that all information needed to prepare the financial plan has been promptly provided by the clients.

As stated previously, the hourly rate is \$250 per hour. In the event that a client should cancel the financial planning agreement under which any plan is being created, the client shall be billed for actual hours logged on the planning project times the agreed upon hourly rate. Any surplus in the Advisor's possession as the result of collecting a deposit at the time of signing the financial planning agreement will be returned to the client within five (5) business days of cancellation.

Either party may terminate the agreement at anytime by providing written notice to the other party within five (5) days of signing the Advisor's financial planning agreement. The client will incur charges for bona fide advisory services rendered to

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:

Logos Wealth Advisors, Inc.

SEC File Number:

801

Date:

11/24/2009

(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 Part I of Form ADV:

Logos Wealth Advisors, Inc.

IRS Empl. Ident. No.:

Item of Form  
(identify)

Answer

Item 1D  
(Continued)

the point of termination and such fees will be due and payable by the client. Refunds will be given on a pro-rata basis.

**Selection, Recommendation, Due Diligence, Performance Reporting Of Third Party Advisory Services**

In order to assist the Client in the selection of a Third Party Advisory Service, LWA will typically gather information from the Clients about the Client's financial situation, investment objectives, and reasonable restrictions the Client wants imposed on the management of the account. LWA will not offer advice on any specific securities or other investments in connection with this service.

LWA will attempt to review reports provided to the Clients on a monthly basis, but no less often than on a quarterly basis. The Investment Advisory Representatives of LWA will contact the Client periodically, as agreed to with the Clients, in order to review the Client's financial situation and objectives; communicate information to the Third Party Advisory Service managing the account as warranted; and, assist the Clients in understanding and evaluating the services provided by the Third Party Advisory Service. Clients will be expected to notify LWA of any changes in their financial situation, investment objectives, or account restrictions. Clients may also contact directly the Third Party LWA managing the account or sponsoring the program.

LWA receives compensation pursuant to its agreements with these Third Party Advisory Programs for introducing Clients to these Third Party Advisory Programs and for certain ongoing services provided to Clients. This compensation, which is disclosed to the Client in a separate disclosure document provided by the Third Party Advisory Program, is typically equal to a percentage of the investment advisory fee charged by that Third Party Advisory Program or a fixed fee. The advisory fee paid to LWA from the Third Party shall be negotiable in certain circumstances, but shall never exceed the amount in LWA's published fee statement. LWA discloses that all Third Party Managers utilized will be properly licensed with the applicable State and/or SEC.

**Additional Information Concerning Fees**

In certain circumstances, advisory fees and account minimums may be negotiable based upon prior relationships as well as related account holdings. The fees charged are calculated as described above and are not charged on the basis of a share of capital gains or capital appreciation of the funds or any portion of the funds of an advisory Client.

All fees paid to LWA for investment advisory services are separate and distinct from the fees and expenses charged by mutual funds to their shareholders. These fees and expenses are described in each fund's prospectus. Such fees will generally include a

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:

Logos Wealth Advisors, Inc.

SEC File Number:

801

Date:

11/24/2009

(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 Part I of Form ADV: Logos Wealth Advisors, Inc.		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	

Item 1D (Continued)	<p>management fee, other fund expenses and a possible distribution fee. If the fund also imposes sales charges, a Client may pay an initial or deferred sales charge.</p> <p>Pursuant to CCR Section 260.238(j), LWA hereby discloses that Clients may receive the same or comparable services from other Financial Advisors at a lower fee.</p> <p>A Client could invest in a mutual fund directly, without the services of LWA. In that case, the Client would not receive the services provided by LWA which are designed, among other things, to assist the Client in determining which mutual fund or funds are most appropriate to the Client's financial condition and objectives. Accordingly, the Clients should review both the fees charged by the funds and the fees charged by LWA to fully understand the total amount of fees to be paid by the Clients and to thereby evaluate the advisory services being provided.</p> <p>Advisory recommendations are based on the Client's financial situation at the time the services are provided and are based on financial information disclosed by the Client to LWA. Clients are advised that certain assumptions may be made with respect to interest and inflation rates and the use of past trends and performance of the market and economy. Past performance is in no way an indication of future performance. As the Client's financial situation, goals, objectives, or needs change, the Client must notify LWA promptly.</p> <p>LWA shall never have custody of any Client funds or securities, as the services of a qualified and independent custodian will be used for these asset management services.</p> <p>In performing its services, LWA shall not be required to verify any information received from the Client or from the Client's other professionals, and is expressly authorized to rely thereon. The Client is free to accept or reject any recommendation made by LWA. Moreover, each Client is advised that it remains his/her/its responsibility to promptly notify LWA if there is ever any change in his/her/its financial situation or investment objectives for the purpose of reviewing/evaluating/revising LWA's previous recommendations and/or services. LWA's Clients are advised to promptly notify LWA if there are ever any changes in their financial situation or investment objectives, or if they wish to impose any reasonable restrictions upon LWA's management services.</p> <p>Neither LWA nor the Client may assign the Investment Advisory Agreement without the prior written consent of the other party. Transactions that do not result in a change of actual control or management of LWA shall not be considered an assignment.</p>
Item 3L	<b>OTHER TYPES OF INVESTMENTS</b>  LWA may provide investment advice on currencies.

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:

Logos Wealth Advisors, Inc.

SEC File Number:

801

Date:

11/24/2009

(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 Part I of Form ADV:

Logos Wealth Advisors, Inc.

IRS Empl. Ident. No.:

Item of Form  
(identify)

Answer

Item 5

**EDUCATION AND BUSINESS STANDARDS**

LWA generally requires a college degree and/or five (5) years of equivalent industry experience for someone to become an investment advisory representative with the firm. In addition, all investment advisory representatives must have obtained all required licenses (Series 65 or the Series 7 and 66) or a professional designation such as the CFP®.

Item 6

**EDUCATION AND BUSINESS BACKGROUND****Paul R. Mata**

Born in 1963

Educational Background

1993: College of Financial Planning. CFP®

1987: California State University of San Bernardino. B.S.

Business Background

04/09 – Present: Logos Wealth Advisors, Inc.

President &amp; Chief Compliance Officer

02/98 – 04/09: Ameriprise Financial Services, Inc.

Advisor

Professional Designations

CFP® - 1993

**Benjamin F. Guizlo**

Born in 1983

Educational Background

2008: California State University of San Bernardino. B.S.

Business Background

04/09 – Present: Logos Wealth Advisors, Inc.

Investment Advisor Representative

08/07 – 04/09: Ameriprise Financial Services, Inc.

Paraplanner

08/06 – 6/07: County of Riverside

Legal Support Assistant

01/03 – 07/06: Preferred Windows and Doors

Driver

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:

Logos Wealth Advisors, Inc.

SEC File Number:

801

Date:

11/24/2009

(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 Part I of Form ADV:  
Logos Wealth Advisors, Inc.

IRS Empl. Ident. No.:

Item of Form  
(identify)

Answer

Item 6  
(Continued)**Erdogan Uner**

Born in 1973

Educational Background

2000: California State University of San Bernardino. MBA

1995: Istanbul Technical University. B.S. in Engineering

Business Background

04/09 – Present: Logos Wealth Advisors, Inc.

Investment Advisor Representative

05/00 – 03/09: Mata, Kayatta &amp; Associates

Investment Analyst

Professional Designations

\*CFA candidate (level 2)

Item 7A, 7B, 8C(9)

**OTHER BUSINESS ACTIVITIES**

Separate and distinct from LWA, Mr. Mata does not have a real estate license, but he engages in property management and personal real estate investments. Mr. Mata may also conduct business by providing estate planning services to various clients. Clients of LWA are never obligated, but may chose to engage in services provided by Mr. Mata for a fee.

Certain persons of LWA are licensed insurance agents where the persons may recommend to their advisory clients a variety of insurance products. These persons may offer commissionable (non-variable) insurance products to LWA's clients for which they may receive compensation.

Engaging in these outside business activities constitute no more than 5% of Members of LWA's time.

Item 9E  
& Miscellaneous**PARTICIPATION OR INTEREST IN CLIENT TRANSACTIONS**

LWA and its associated persons may buy or sell securities and other investments that are also recommended to Clients. In order to minimize this conflict of interest, LWA and its associated persons will place Client interests ahead of their own interests.

**Code of Ethics.**

LWA has established a Code of Ethics that will apply to all of its associated persons. An investment adviser is considered a fiduciary. As a fiduciary, it is an investment adviser's responsibility to provide fair and full disclosure of all material facts and to act solely in the best interest of each of our Clients at all times. LWA has a fiduciary duty to all Clients. This fiduciary duty is considered the core underlying principle for LWA's Code

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:

Logos Wealth Advisors, Inc.

SEC File Number:

801

Date:

11/24/2009

(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 Part I of Form ADV: Logos Wealth Advisors, Inc.		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	

Item 9E & Miscellaneous (Continued)	<p>of Ethics which also includes Insider Trading and Personal Securities Transactions Policies and Procedures. LWA requires all of its supervised persons to conduct business with the highest level of ethical standards and to comply with all federal and state securities laws at all times. Upon employment or affiliation and at least annually thereafter, all supervised persons will sign an acknowledgement that they have read, understand and agree to comply with LWA's Code of Ethics. LWA has the responsibility to make sure that the interests of all Clients are placed ahead of LWA's or its supervised person's own investment interest. Full disclosure of all material facts and potential conflicts of interest will be provided to Clients prior to any services being conducted. LWA and its supervised persons must conduct business in an honest, ethical and fair manner and avoid all circumstances that might negatively affect or appear to affect our duty of complete loyalty to all Clients. This disclosure is provided to give all Clients a summary of advisor's Code of Ethics. However, if a Client or a potential Client wishes to review LWA's Code of Ethics in its entirety, a copy will be provided promptly upon request.</p> <p><b><u>Insider Trading</u></b></p> <p>In accordance with California State statutes and rules, LWA also maintains and enforces written policies reasonably designed to prevent the misuse of material non-public information by LWA.</p> <p><b><u>Conflicts of Interest</u></b></p> <p>All material conflicts of interest under CCR Section 260.238 (k) are disclosed regarding the investment adviser, its representatives or any of its employees, which could be reasonably expected to impair the rendering of unbiased and objective advice.</p>
Item 10	<p><b><u>CONDITIONS FOR MANAGING ACCOUNTS</u></b></p> <p>Advisor generally requires a minimum account size of \$100,000 for managed accounts. This account requirement is negotiable in certain circumstances. The fact that a client's household has multiple accounts under management with the Advisor may be taken into consideration when determining minimum account size requirements.</p>
Item 12A, 12B	<p><b><u>INVESTMENT OR BROKERAGE DISCRETION</u></b></p> <p>LWA generally utilizes discretion. LWA may have the authority to determine, without obtaining specific Client consent, the securities to be bought or sold and the amount of the securities to be bought or sold.</p> <p><b><u>SUGGESTION OF BROKERS</u></b></p> <p>With client's consent, Advisor may execute and/or suggest the execution of transactions through Fidelity Institutional Wealth Services ("FIWS") through Fidelity Brokerage</p>

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:

Logos Wealth Advisors, Inc.

SEC File Number:

801

Date:

11/24/2009

(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 Part I of Form ADV: Logos Wealth Advisors, Inc.		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	

Item 12B (Continued)	<p>Services LLC, ("FBS") an unaffiliated service provider. Factors which LWA considers in recommending FBS (or any other broker-dealer/custodian) to clients include its respective financial strength, reputation, execution, pricing, reporting, research, and service.</p> <p>Clients wishing to implement LWA's advice are free to select any broker they wish, and are so informed. Those wishing LWA to recommend a broker will get a recommendation based on the broker's costs, skills, reputation, dependability and compatibility with the client. Clients are advised that they 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>LWA may execute or recommend that clients execute their securities transactions through various firms including, but not limited to broker-dealers such as FBS, as mentioned previously. FBS and other firms may charge commissions (ticket charges) for executing LWA's transactions. LWA does not receive any part of these separate charges which are assessed directly to clients. FBS does not have a role with respect to LWA's investment advisory accounts. It is also important to note that FBS does not maintain a supervisory relationship with respect to LWA or its representatives nor are they in any way affiliated with it. LWA is independently owned and operated.</p> <p>LWA may recommend/require that clients establish accounts with FBS or other firms to maintain custody of clients' assets and effect trades for their accounts. Such firms may provide LWA with access to their institutional trading and custody services, which are typically not available to their retail investors. For LWA's Clients' accounts maintained in their custody, FBS and other firms do not charge separately for custody but are compensated by account holders through commissions or other transaction-related fees or securities trades that are executed through their firms or that settle into their respective accounts.</p> <p>FBS and other firms may also make available to LWA other products and services that may benefit LWA but which may not benefit its clients. These types of services will help LWA in managing and administering client accounts. These include software and other technology that provide access to client account data (i.e. trade confirmations and account statements); facilitate trade executions; provide research, pricing information, and other market data; facilitate in the payment of LWA's fees from its clients' accounts; and assist with back-office functions, record-keeping, and client reporting. Many of these services may be used to service all or a substantial number of LWA's accounts.</p> <p>LWA does not maintain custody of client assets. In all managed account cases, the custodian sends monthly statements to LWA's clients showing all disbursements for the custodian account including the amount of the advisory fees. Clients provide written authorization permitting LWA to be paid directly for their accounts held by the</p>
-------------------------	---

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:

Logos Wealth Advisors, Inc.

SEC File Number:

801

Date:

11/24/2009

(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 Part I of Form ADV: Logos Wealth Advisors, Inc.		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	

Item 12B (Continued)	custodian or trustee. In other cases, clients are sent an invoice for the amount of their advisory fee due to LWA and send LWA a check for the same.
Item 13A	<p><b><u>ADDITIONAL COMPENSATION</u></b></p> <p>LWA may receive research and execution related services from the parties mentioned in Item 12(B) of Schedule F to assist LWA in managing its accounts. These services and products would include financial publications, pricing information and other products or services. Such research and execution related services are offered to all investment advisers who utilize these firms. However, the commissions charged by these parties may be higher than those charged by a broker who does not provide the aforementioned research and execution related services.</p> <p>Advisor may also refer clients to third party money managers and receive a portion of the advisory fee charged to the client by money managers within their programs. The amount of the Advisor's portion of the fee will be disclosed to clients at the time of the referral.</p>
Miscellaneous	<p><b>Proxy Voting Policy.</b></p> <p>LWA does not vote Client proxies. However, money managers selected by LWA may vote proxies for Clients. Therefore, except in the event a money manager votes proxies, Clients maintain exclusive responsibility for: (1) directing the manner in which proxies solicited by issuers of securities beneficially owned by the Client shall be voted, and (2) making all elections relative to any mergers, acquisitions, tender offers, bankruptcy proceedings or other type events pertaining to the Client's investment assets. Therefore (except for proxies that may be voted by a money manager), LWA and/or the Client shall instruct the Client's qualified custodian to forward to the Client copies of all proxies and shareholder communications relating to the Client's investment assets.</p> <p><b>Privacy Policy</b></p> <p>LWA does not share or disclose customer information to nonaffiliated third parties except as permitted or required by law. LWA is committed to safeguarding the confidential information of its Clients. LWA holds all personal information provided by Clients in the strictest confidence and it is the objective of LWA to protect the privacy of all Clients. Except as permitted or required by law, LWA does not share confidential information about Clients with nonaffiliated parties. In the event that there were to be a change in this policy, LWA will provide Clients with written notice and Clients will be provided an opportunity to direct LWA as to whether such disclosure is permissible. LWA delivers a copy of its privacy policy to all Clients on an annual basis.</p> <p>To conduct regular business, LWA may collect personal information from sources such as:</p>

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:

Logos Wealth Advisors, Inc.

SEC File Number:

801

Date:

11/24/2009

(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 Part I of Form ADV:

Logos Wealth Advisors, Inc.

IRS Empl. Ident. No.:

Item of Form  
(identify)

Answer

Miscellaneous  
(Continued)

- Information reported by the Client on applications or other forms the Client provides to LWA;

- Information about the Client's transactions implemented by others and viewable by LWA;

- Information developed as part of analyses or investment advisory services.

To administer, manage, service, and provide related services for Client accounts, it is necessary for LWA to provide access to customer information within the firm and to nonaffiliated companies with whom LWA has entered into agreements with. To provide the utmost service, LWA may disclose the information below regarding customers and former customers, as necessary, to companies to perform certain services on LWA's behalf.

- Information LWA receives from the Client on applications (name, social security number, address, assets, etc.);

- Information about the Client's transactions with LWA or others (account information, payment history, parties to transactions, etc.);

- Information concerning investment advisory account transactions;

- Information about a Client's financial products and services with LWA.

**How We Protect Information.**

LWA maintains the confidentiality of the information that its Clients provide. LWA protects Client's information by meeting all laws setting forth procedures for providing physical, electronic, and procedural safeguards that comply with federal regulations to guard your nonpublic personal information. All people who work for the LWA are trained to handle Client's information properly in order to maintain its security. LWA also restricts access to personal information about Clients to only those employees who need such information to provide service(s) to the Client. LWA maintains physical, electronic, and procedural safeguards that comply with industry standards to guard Clients' personal information. LWA does not sell or market Clients' or prospective Clients' personal information to third parties. LWA does not disclose any information about its Clients or former Clients to anyone, except as needed by our service providers (e.g., broker, accountants, attorneys and auditors) or as required by law.

**Changes in Privacy Policy.**

LWA may modify the policy at any time. LWA will notify its current Clients of any modifications.

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:

Logos Wealth Advisors, Inc.

SEC File Number:

801

Date:

11/24/2009

(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 Part I of Form ADV:

Logos Wealth Advisors, Inc.

IRS Empl. Ident. No.:

Item of Form  
(identify)

Answer

Miscellaneous  
(Continued)

**Questions.**

Please contact Paul Mata, President and Chief Compliance Office, if you have any questions about this Schedule F narrative at (909) 581-7120.

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