

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

Name of Investment Adviser:	
Concert Private Wealth Advisor Solutions, LLC	
Address: (Number and Street) (City) (State) (Zip Code)	Area Code: Telephone Number:
1545 River Park Drive, Suite 375 Sacramento, CA 95815	(916) 284-1445

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

(Schedule 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 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.

FORM ADV**Part II - Page 2**

Applicant:

Concert Private Wealth Advisor Solutions, LLC

SEC File Number:

Date:

04/30/2009

1.	A.	Advisory Services and Fees. (check the applicable boxes) Applicant: <table style="width: 100%; border: none;"><tr><td style="width: 5%;"><input checked="" type="checkbox"/></td><td style="width: 5%;">(1)</td><td style="width: 75%;">Provides investment supervisory services</td><td style="width: 15%; text-align: right;">50 %</td></tr><tr><td><input type="checkbox"/></td><td>(2)</td><td>Manages investment advisory accounts not involving investment supervisory services</td><td style="text-align: right;">%</td></tr><tr><td><input type="checkbox"/></td><td>(3)</td><td>Furnishes investment advice through consultations not included in either service described above</td><td style="text-align: right;">%</td></tr><tr><td><input type="checkbox"/></td><td>(4)</td><td>Issues periodicals about securities by subscription</td><td style="text-align: right;">%</td></tr><tr><td><input type="checkbox"/></td><td>(5)</td><td>Issues special reports about securities not included in any service described above</td><td style="text-align: right;">%</td></tr><tr><td><input type="checkbox"/></td><td>(6)</td><td>Issues, not as part of any service described above, any charts, graphs, formulas, or other devices which clients may use to evaluate securities</td><td style="text-align: right;">%</td></tr><tr><td><input type="checkbox"/></td><td>(7)</td><td>On more than an occasional basis, furnishes advice to clients on matters not involving securities</td><td style="text-align: right;">%</td></tr><tr><td><input type="checkbox"/></td><td>(8)</td><td>Provides a timing service</td><td style="text-align: right;">%</td></tr><tr><td><input checked="" type="checkbox"/></td><td>(9)</td><td>Furnishes advice about securities in any manner not described above</td><td style="text-align: right;">50%</td></tr></table>	<input checked="" type="checkbox"/>	(1)	Provides investment supervisory services	50 %	<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 clients 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 checked="" type="checkbox"/>	(9)	Furnishes advice about securities in any manner not described above	50%	For each type of service provided, state the approximate % of total advisory billings from that service. (See instruction below.)
<input checked="" type="checkbox"/>	(1)	Provides investment supervisory services	50 %																																				
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(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 <input type="checkbox"/> No <input checked="" type="checkbox"/>																																				
		C. Applicant offers investment advisory services for: (check all that apply): <table style="width: 100%; border: none;"><tr><td style="width: 5%;"><input checked="" type="checkbox"/></td><td style="width: 5%;">(1)</td><td style="width: 40%;">A percentage of assets under management</td><td style="width: 5%;"><input type="checkbox"/></td><td style="width: 5%;">(4)</td><td style="width: 40%;">Subscription fees</td></tr><tr><td><input type="checkbox"/></td><td>(2)</td><td>Hourly charges</td><td><input type="checkbox"/></td><td>(5)</td><td>Commissions</td></tr><tr><td><input type="checkbox"/></td><td>(3)</td><td>Fixed fees (not including subscription fees)</td><td><input checked="" type="checkbox"/></td><td>(6)</td><td>Other</td></tr></table>		<input checked="" type="checkbox"/>	(1)	A percentage of assets under management	<input type="checkbox"/>	(4)	Subscription fees	<input type="checkbox"/>	(2)	Hourly charges	<input type="checkbox"/>	(5)	Commissions	<input type="checkbox"/>	(3)	Fixed fees (not including subscription fees)	<input checked="" type="checkbox"/>	(6)	Other																		
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		D. For each checked box in A above, describe on Schedule F: <ul style="list-style-type: none">• 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) <table style="width: 100%; border: none;"><tr><td style="width: 50%; vertical-align: top;"><input checked="" type="checkbox"/> A. Individuals <input type="checkbox"/> B. Banks or thrift institutions <input type="checkbox"/> C. Investment companies <input checked="" type="checkbox"/> D. Pension and profit sharing plans</td><td style="width: 50%; vertical-align: top;"><input checked="" type="checkbox"/> E. Trusts, estates, or charitable organizations <input checked="" type="checkbox"/> F. Corporations or business entities other than those listed above <input checked="" type="checkbox"/> G. Other (describe on Schedule F)</td></tr></table>	<input checked="" type="checkbox"/> A. Individuals <input type="checkbox"/> B. Banks or thrift institutions <input type="checkbox"/> C. Investment companies <input checked="" type="checkbox"/> D. Pension and profit sharing plans	<input checked="" type="checkbox"/> E. Trusts, estates, or charitable organizations <input checked="" type="checkbox"/> F. Corporations or business entities other than those listed above <input checked="" type="checkbox"/> G. Other (describe on Schedule F)
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Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

FORM ADV**Part II - Page 3**

Applicant:

Concert Private Wealth Advisor Solutions, LLC

SEC File Number:

Date:

04/30/2009

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 type="checkbox"/> I. Options contracts on: |
| <input type="checkbox"/> (3) foreign issues | <input checked="" type="checkbox"/> (1) securities |
| | <input checked="" type="checkbox"/> (2) commodities |
| <input checked="" 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 type="checkbox"/> (1) tangibles |
| | <input type="checkbox"/> (2) intangibles |
| <input checked="" type="checkbox"/> D. Commercial paper | <input type="checkbox"/> K. Interests in partnerships investing in: |
| <input checked="" type="checkbox"/> E. Certificates of deposit | <input type="checkbox"/> (1) real estate |
| <input checked="" type="checkbox"/> F. Municipal securities | <input type="checkbox"/> (2) oil and gas interests |
| | <input type="checkbox"/> (3) other (explain on Schedule F) |
| <input type="checkbox"/> G. Investment company securities | <input type="checkbox"/> L. Other (explain on Schedule F) |
| <input type="checkbox"/> (1) variable life insurance | |
| <input 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 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 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
(securities held at least a year) | (5) <input checked="" type="checkbox"/> Margin transactions |
| (2) <input checked="" type="checkbox"/> Short term purchases
(securities sold within a year) | (6) <input checked="" 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 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:

Concert Private Wealth Advisor Solutions, LLC

SEC File Number:

Date:

04/30/2009

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 checked="" 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.)

- 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:

Concert Private Wealth Advisor Solutions, LLC

SEC File Number:

Date:

04/30/2009

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.

Reviews: Accounts are reviewed on an ongoing basis, but at least once quarterly. The client is encouraged to notify the Advisor and investment Advisor Representative if changes occur in his/her personal financial situation that might adversely affect his/her investment plan. More frequent reviews may occur by such triggers as tax law changes, changes in personal factors and/or changes in the value of the securities held.

Reviewers: The Advisor Representative assigned to the account reviews the account at least quarterly to make sure the investments continue to be suitable according to the investment plan.

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

The client will receive written statements monthly from the custodian and other supporting reports from Mutual Funds, Asset Managers, Trust Companies or Custodians, Insurance Companies, Broker/Dealers and others who are involved with client accounts.

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:

Concert Private Wealth Advisor Solutions, LLC

SEC File Number:

Date:

04/30/2009

12. Investment or Brokerage Discretion.

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

(1) securities to be bought or sold?

Yes ☒ No ☐

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

Yes ☒ No ☐

(3) broker or dealer to be used ?

Yes ☒ No ☐

(4) commission rates paid?

Yes ☐ No ☒

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

Yes ☒ No ☐

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

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

13. Additional Compensation.

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

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

Yes ☐ No ☒

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

Yes ☒ No ☐

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

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

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

Has applicant provided a Schedule G balance sheet?

Yes ☐ No ☒

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

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

Adviser: Concert Private Wealth Advisor Solutions, LLC	SEC File Number:	Date: 04/30/2009
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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 Adviser exactly as stated in Item 1A of Part I of Form ADV: Concert Private Wealth Solutions	IRS Empl. Ident. No.:									
Item of Form (identify)	Answer										
Item 1	<p>Concert Private Wealth Advisor Solutions (Concert) provides (1) discretionary management advisory services; (2) non-discretionary advisory services; (3) advice regarding other investment management firms, and; (4) turnkey asset management services to independent registered investment advisors.</p> <p>Concert's back office services offer marketing, administration, portfolio management, support and investment advice to independent registered investment advisory firms. Concert's objective is to provide resources and services to advisors to allow them to devote their time to building an investment advisory practice while outsourcing the "back and middle office" to Concert.</p> <p><u>Asset Management Services And Fees: Discretionary Accounts</u></p> <p>Pursuant to an investment advisory agreement signed by each client, the client will pay Concert a quarterly management fee, payable in quarterly installments at the beginning of each quarter, based on the amount of the assets at the close of the market on the date the fee accrues and becomes payable. Asset management fees will be automatically deducted from the client account on a quarterly basis by the custodian.</p> <p>While it is not Concert's policy to accept any new accounts at fees other than those shown below, varying workloads between clients can mean some variability of fees and may be negotiated by the advisor, at the sole discretion of the advisor.</p> <table border="1"> <thead> <tr> <th>Aggregate Assets</th><th>Annual Fee</th></tr> </thead> <tbody> <tr> <td>First \$499,999</td><td>2.50%</td></tr> <tr> <td>From \$500,000 to \$749,999</td><td>2.25%</td></tr> <tr> <td>From \$750,000 to \$999,999</td><td>2.00%</td></tr> <tr> <td>\$1,000,000 and above</td><td>Negotiable</td></tr> </tbody> </table> <p>A client can terminate his/her account by providing 30 days written notice. Client will be entitled to a pro rate refund of any prepaid quarterly fees based upon the number of days remaining in the quarter after the date upon which notice of termination is received.</p> <p>All fees paid to Concert for investment advisory services are separate and distinct from the expenses charged by mutual funds to their shareholders and the product sponsor in the case of variable insurance products. These fees and expenses are described in each fund's or variable product's prospectus. These fees will generally include a management fee, other fund expenses and a possible distribution fee. If the sponsor also imposes sales charges, a client may pay an initial or deferred sale or surrender charge. A client could invest in these products directly, without the services of Concert. In that case, the client would not receive the services provided by Concert which are designed, among other things, to assist the client in determining which products or services are most appropriate to each client's financial condition and objectives. Accordingly, the client should review both the fees charged by the product sponsor and the fees charged by Concert to fully understand the total fees to be paid.</p>	Aggregate Assets	Annual Fee	First \$499,999	2.50%	From \$500,000 to \$749,999	2.25%	From \$750,000 to \$999,999	2.00%	\$1,000,000 and above	Negotiable
Aggregate Assets	Annual Fee										
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**Schedule F of
Form ADV
Continuation Sheet for Form ADV Part II**

Adviser:	SEC File Number:	Date:
Concert Private Wealth Advisor Solutions, LLC		04/30/2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1.	Full name of Adviser exactly as stated in Item 1A of Part I of Form ADV: Concert Private Wealth Solutions	IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
	<p><u>Asset Management Services And Fees: Nondiscretionary Accounts:</u></p> <p>Concert may also provide nondiscretionary investment management advice regarding the investment of assets in a client's investment account. In such case, the client is responsible for making investment decisions, but may receive advice from Concert regarding those decisions. The fees for each nondiscretionary account are also charged based on an annual percentage of assets under management.</p> <p><u>Sub-Advised Accounts:</u></p> <p>Concert may also utilize sub-advisers to manage one or more of a client's investment accounts. The sub-adviser may be retained by Concert on a discretionary basis, or by the client. Concert received a fee as described under asset management services and fees and the client pays directly the fees charged by the sub-adviser as set forth in a written agreement between the client and sub-adviser.</p> <p>Concert believes that its fees are competitive with fees charged by other investment advisers for comparable services. Comparable services, however, may be available from other sources for fees lower than those charged by Concert.</p> <p><u>Turnkey Asset Management Services</u></p> <p>Concert assists independent registered investment advisors (IAs) who provide portfolio management and employee benefit retirement plans to investors. Concert provides or advises/manages existing model investment portfolios that IA may use to manage investment accounts.</p> <p>On an ongoing basis as needed, Concert will recommend to IAs appropriate asset classes and investments for the IA's consideration based on its market research. Concert's advisor services are designed to educate IAs on how to offer long term investment solutions through appropriate asset allocation. For those advisors with their own models developed for managing client assets, Concert will run the models on their behalf, making required trades to keep clients in line with the specified advisor created model.</p> <p>In conjunction with Concert's advisory services, Concert provides comprehensive back office support to IAs, which includes:</p> <ul style="list-style-type: none"> • Administrative assistance to open and maintain Investment Advisor G Number and Master Accounts and all of an IA's Client accounts, including supplying IA with all custodial documentation required to open and maintain accounts. • Maintain daily buy/sell and monthly account statement reconciliations with custodians on Client accounts. • Coordinate with custodians on individual Client situations. • Provide customized quarterly statements prepared by Concert. • Provide IA with online access to various portfolio management and performance reports to assist in management of Client accounts. • Provide Model Investment Policy Statement questionnaire and template, with updates as appropriate. • Provide Client Agreement template. • Transmit to custodians all buy/sell orders provided by IA for IA's client accounts. • Providing trading cost and fee structure with authorized custodian(s) that takes advantage of Concert's collective arrangements. 	

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

Adviser: Concert Private Wealth Advisor Solutions, LLC	SEC File Number:	Date: 04/30/2009
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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 Adviser exactly as stated in Item 1A of Part I of Form ADV: Concert Private Wealth Solutions	IRS Empl. Ident. No.:																							
Item of Form (identify)	Answer																								
	<ul style="list-style-type: none"> Collect and remit net fees (gross fees minus fees due Concert from Investment Advisor) to IA on a monthly basis. IAs establish their own fee rates and break points with clients and shall be charged in advance and based on the aggregate account size. Special fee payment structures with Clients will be strictly limited and subject to Concert's approval. Provide IAs with model portfolios as needed. IA will determine with Clients what allocation is appropriate for each Client and what investment vehicles will be used. Provide IA with marketing support in the form of presentation materials templates, newsletters, and other materials available in multimedia format. Provide training in best practices determined by Concert for running IA's practice Provide consultation to IA, including portfolio analysis for both fixed income and equity portfolios. Maintain advisor created asset allocation models and rebalancing client assets based on tolerances create by advisor. Concert will seek to identify outside providers of key strategic services and make such providers known to IAs. <p>Concert has identified certain retirement plan service providers, whose services include recordkeeping, compliance, custody, participant education, and plan set up or conversion. Concert has and will continue to work with these providers to offer a package of services that meets IA's needs for qualified retirement plans. Concert will, on an ongoing basis, provide training to IA on using these services, act as a liaison between IA and providers, collect fees for IA, and provide periodic accounting of assets under advisement in retirement plans set up with providers through Concert.</p> <p>The fee charged by Concert or its comprehensive turnkey asset management services is based on the total assets of and IA's client accounts using Concert's services, according to the following schedule:</p> <table border="1"> <thead> <tr> <th>Revenues</th><th>Advisor Services</th><th>Private Wealth Solutions</th><th>Asset Management</th></tr> </thead> <tbody> <tr> <td>Below 1mm</td><td>30 bps</td><td>5 bps</td><td>5 bps</td></tr> <tr> <td>Above 1mm – 2.5mm</td><td>25 bps</td><td>5 bps</td><td>5 bps</td></tr> <tr> <td>Above 2.5mm – 5mm</td><td>20 bps</td><td>5 bps</td><td>5 bps</td></tr> <tr> <td>Above 5mm – 7.5mm</td><td>15 bps</td><td>5 bps</td><td>5 bps</td></tr> <tr> <td>Above 7.5mm</td><td>Negotiable</td><td>Negotiable</td><td>Negotiable</td></tr> </tbody> </table> <p>Concert will be entitled to a minimum fee for all AUM in advisory accounts (i.e. accounts in which Concert has received electronic downloads from respected custodians). For Investment Advisory Firm assets being managed by the IA for firm or related retirement plans and personal funds of firm owner's employees, Concert will charge an amount equal to 30 bps of the AUM or an amount agreed upon by the parties for special situations. Concert shall be entitled to charge a fee up to 30 bps on AUM in advisory accounts that the Investment Advisor has discounted at unusually low rates compared to Investment Advisor's own fee schedule. No fee will be charged on special accounts on which Investment Advisor is not acting as investment advisor for a fee.</p>	Revenues	Advisor Services	Private Wealth Solutions	Asset Management	Below 1mm	30 bps	5 bps	5 bps	Above 1mm – 2.5mm	25 bps	5 bps	5 bps	Above 2.5mm – 5mm	20 bps	5 bps	5 bps	Above 5mm – 7.5mm	15 bps	5 bps	5 bps	Above 7.5mm	Negotiable	Negotiable	Negotiable
Revenues	Advisor Services	Private Wealth Solutions	Asset Management																						
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**Schedule F of
Form ADV
Continuation Sheet for Form ADV Part II**

Adviser:	SEC File Number:	Date:
Concert Private Wealth Advisor Solutions, LLC		04/30/2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1.	Full name of Adviser exactly as stated in Item 1A of Part I of Form ADV: Concert Private Wealth Solutions	IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
	<p>IA will provide Concert with authority to directly debit IA's client fees at the start of each quarter, deduct its own fee as described above, and forward the remaining fees to IAs. IAs will request authority from their clients to receive quarterly payments directly from the client's account held by an independent custodian, and IAs will assign this authority to Concert.</p> <p>Fees are invoiced in advance, at the beginning of each calendar quarter, based upon the value (market value or fair market value) of the IA's clients' account at the end of the previous quarter. New accounts are charged a prorated fee for the remainder of the quarter in which the account is incepted (date of first trading activity in account by IA).</p> <p>All fees are calculated as described above and are not charged on the basis of a share of capital gains upon or capital appreciation of the funds or any portion of the funds of an advisory client.</p> <p>Generally, service agreements between Concert and IAs may be terminated for any reason and by either party with one hundred and eighty (180) days written notice. Immediate termination may be effected by either party because of the other party's insolvency, failure to pay fees, default or breach of agreement, or conviction of affiliated persons of any felony, crime involving dishonesty, or a violation of securities law.</p>	
Item 2.G.	<p><u>Types Of Clients</u></p> <p>Concert's turnkey asset management services are provided to independent registered investment advisors. These independent IAs are ultimately responsible for recommendations and/or selection of all investments on behalf of investors.</p>	
Item 5.	<p><u>Education And Business Standards</u></p> <p>Concert requires that persons providing investment advice should be an Investment Advisor Representative with the equivalent of a Series 65 or Series 7 and Series 66 license, and have a bachelor's degree or equivalent of 3 to 5 years business experience.</p>	
Item 6.	<p><u>Education And Business Background</u></p> <p>The educational backgrounds and employment histories of Concert's Executive Committee and all of Concert's advisory personnel are described in the attached supplement. Concert requires each person with professional designations to complete annual continuing education requirements.</p>	
Item 7.A.	<p><u>Non-Advisory Services</u></p> <p>Concert's turnkey asset management service offers comprehensive back office support services in conjunction with the investment advice provided to independent IAs. Concert's services include, but are not limited to, administrative, marketing and support services designed to enable IAs to focus their time on the development of their investment practices. The back office services, which are an integral component of Concert's turnkey asset management services, are fully described in 1D above.</p>	

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

Adviser: Concert Private Wealth Advisor Solutions, LLC	SEC File Number:	Date: 04/30/2009
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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 Adviser exactly as stated in Item 1A of Part I of Form ADV: Concert Private Wealth Solutions	IRS Empl. Ident. No.:
Item of Form (identify)	Answer
Item 9.	<p>Concert, has adopted a Code Of Ethics (Code) expressing the firm's commitment to ethical conduct. The Code describes the firm's fiduciary duties and responsibilities to clients and sets forth Concert's practice of supervising the personal securities transactions of employees with access to client information. Individuals associated with Concert may buy or sell securities for their personal accounts identical or different than those recommended to clients. It is the expressed policy of Concert that no person employed by the firm shall prefer his or her own interest to that of an advisory client or make personal investment decisions based on investment decisions of advisory clients.</p> <p>To supervise compliance with its Code, Concert requires that anyone associated with this advisory practice with access to advisory recommendations provide annual securities holding reports and quarterly transaction to the firm's CCO or his or her designee. Concert also requires such access persons to receive approval from the CCO prior to investing in any IP's or private placements.</p> <p>Concert's Code further includes the firm's policy prohibiting the use of material non-public information and protecting the confidentiality of client information. Concert requires that all individuals must act in accordance with all applicable Federal and State regulations governing registered investment advisory practices. Any individual not in observance of the above may be subject to discipline.</p> <p>Concert will provide a complete copy of its Code to any Client upon request.</p>
Item 12.A.(1), 12.A.(2)	<p><u>Investment Discretion</u></p> <p>Concert generally has discretion over the selection and amount of securities to be bought or sold in client accounts without obtaining prior consent or approval from the client. However, these purchases or sales may be subject to specified investment objectives, guidelines, or limitations previously set forth by the client and agreed to by Concert.</p> <p>Discretionary authority will only be authorized upon full disclosure to the client. The granting of such authority will be evidenced by the client's execution of an Investment Advisory Agreement containing all applicable limitations to such authority. All discretionary trades made by Concert will be in accordance with each client's investment objectives and goals.</p> <p><u>Best Execution:</u></p> <p>Concert Wealth Management has a fiduciary duty to seek best execution for client transactions. While best execution is difficult to define and challenging to measure, there is some consensus that it does not solely mean the achievement of the best price on a given transaction. In selecting a broker-dealer for any transaction or series of transactions, Concert may consider a number of factors including: 1) the broker's capital depth, 2) the broker's market access, 3) the broker's transaction confirmation and account statement practices, 4) our knowledge of negotiated commission rates and spreads currently made available, 5) the nature and character of the markets for the security to be purchased or sold, 6) the desired timing of the transaction, 7) the execution, 8) clearance and settlement capabilities of the broker selected and others considered, 9) our knowledge of any actual or apparent operational problems of a broker, 10) offering to Concert online access to computerized data regarding clients' accounts and 11) the reasonableness of the commission or its equivalent for the specific transaction. Based on the above criteria, Concert may not necessarily pay the lowest commission as specific transactions may involve specialized services on the part of the broker. This would justify higher commissions (or their equivalent) than other transactions requiring routine services. If Concert is directed by the client to direct trades to a specific broker-dealer other than the custodian typically used by Concert for trade execution, it is disclosed that Concert's ability to negotiate commissions (where applicable), obtain</p>

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

Adviser:

Concert Private Wealth Advisor
Solutions, LLC

SEC File Number:

Date:

04/30/2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of Adviser exactly as stated in Item 1A of Part I of Form ADV: Concert Private Wealth Solutions	IRS Empl. Ident. No.:
Item of Form (identify)	Answer
	<p>volume discounts, or otherwise obtain best execution may not be as favorable as might otherwise be obtained.</p> <p><u>Order Aggregation:</u></p> <p>Concert may combine orders into block trades when more than one account is participating in the trade. Block trading is performed when it is consistent with the duty to seek best execution and is consistent with the terms of Concert's investment advisory agreements. Equity trades are blocked based upon fairness to client, both in the participation of their account, and in the allocation of orders for the accounts of more than one client. Allocations of all orders are performed in a timely and efficient manner. All managed accounts participating in a block execution receive the same execution price (average share price) for the securities purchased or sold in a trading day. Any portion of an order that remains unfilled at the end of a given day will be rewritten on the following day as a new order with a new daily average price to be determined at the end of the following day. Due to the low liquidity of certain securities, broker availability may be limited. Open orders are worked until they are completely filled, which may span the course of several days. If an order is filled in its entirety, securities purchased in the aggregated transaction will be allocated among the accounts participating in the trade in accordance with the allocation statement. If an order is partially filled, the securities will be allocated pro rata based on the allocation statement. Concert may allocate trades in a different manner than indicated on the allocation statement (non-pro rata) only if all managed accounts receive fair and equitable treatment.</p>
Item 12.A.(3)	<p>Concert has discretionary authority to select the broker or dealer for custodial and execution services. Concert uses Schwab Institutional, Fidelity Investments and Merrill Lynch as their custodians for the majority of its clients' assets unless specifically requested otherwise by the client. While a fiduciary, Concert endeavors to act in its clients' best interests and Concert's recommendations that clients maintain their assets in accounts at the directed Custodian or Broker/Dealer may be based in part on the benefit to Concert of the availability of some of the products and services and not solely based on the nature, cost or quality of custody and brokerage services, which may create a potential conflict of interest. Some of these products and services (which may include software/technology that provide access to client account data; facilitate trade execution; provide research, pricing and other market information; facilitate payment of advisory fees from its clients' accounts; and assist with recordkeeping and back office functions) assist in managing and administering Concerts clients' account regardless of the Custodian or Broker/Dealer utilized.</p>
Item 12.B.	<p>Where Concert does not exercise brokerage discretion, it may recommend brokers to clients for execution and/or custodial services where requested by the client. Concert may recommend brokers based on criteria such as, but not limited to, reasonableness of commissions charged to the client, services made available to the client, and location of broker offices. Clients are not obligated to use the recommended broker and will not incur any extra fee or cost associated with using a broker not recommended by Concert.</p>
Item 13.B.	<p>Concert has solicitor agreements in place with individuals where the solicitor refers clients to Concert for investment advisors looking to join the Concert platform. Notwithstanding such effort Concert shall have no responsibility or obligation to accept any client/advisor.</p> <p>The overall fee paid by the client will not be increased by any payments made to the solicitor. The fee charged to the client by Concert will be the same whether they are referred by the solicitor or not.</p>

Douglas Johnston
Year of Birth: 1968
BA Business Communications, California State University, Sacramento California
Licenses: Series 7
President, Concert Private Wealth Advisory Solutions, LLC: 04/2009 to Present,
CEO, Johnston Tate Wealth Advisory Group, LLC: 07/2008 to Present
Vice President, Merrill Lynch Inc.: 10/03 to 02/2009
Senior Business Development Manager, Advent Software: 01/99 to 10/03

Felipe Luna
Year of Birth: 1967
BS Engineering, United State naval Academy, Annapolis Maryland
Licenses: Series 7, 65, 63, 3, 8 / California State Life Insurance
CEO, Concert Private Wealth Advisor Solutions, LLC: 04/2009 to Present
President and Director Investment Policy Committee, Concert Wealth Management, Inc: 9/2006 to Present
Corporate Vice President, Branch Manager, UBS Financial Services Inc.: 12/3/02 to 8/2006
Vice President, Salomon Smith Barney Inc.: 6/1998 to 11/02
Financial Consultant, Merrill Lynch Inc.: 10/94 to 6/1998

Michael Tate
Year of Birth: 1973
BS Finance and Economics, St. Mary's College of California, Moraga California
Licenses: Series 65
COO/CCO, Concert Private Wealth Advisor Solutions, LLC: 04/2009 to Present
President, TPBS Capital Management: 01/2007 to Present
Partner, TPBS, LLP: 01/2009 to Present
COO, Johnston Tate Wealth Advisory Group, LLC: 07/2008 to Present
Managing Shareholder, Tate, Propp, Beggs & Sugimoto, an Accountancy Corporation: 11/1999 to 12/2008