

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

OMB Number: 3235-0049  
Expires: February 28, 2011  
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Hours per response.....4.07

Name of Investment Adviser: Warden Wealth Management, LLC						
Address:	(Number and Street)	(City)	(State)	(Zip Code)	Area Code:	Telephone Number:
	758 North Broadway Suite 904	Milwaukee, WI	53202		(414)	270-4500

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

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(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.

Applicant: Warden Wealth Management, LLC

SEC File Number:

801- 70370

Date:

08/12/2009

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

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

**Applicant:**

- |                                     |  |    |   |
|-------------------------------------|--|----|---|
| <input checked="" type="checkbox"/> | (1) Provides investment supervisory services .....   | 80 | % |
| <input type="checkbox"/>            | (2) Manages investment advisory accounts not involving investment supervisory services.....  |    | % |
| <input checked="" type="checkbox"/> | (3) Furnishes investment advice through consultations not included in either service described above...  | 20 | % |
| <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 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 applicant call any of the services it checked above financial planning or some similar term? . . . . . 

Yes	No
<input checked="" type="checkbox"/>	<input type="checkbox"/>

**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)**

**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"/> I. Options contracts on:               |
| <input checked="" type="checkbox"/> (2) securities traded over-the-counter                     | <input checked="" type="checkbox"/> (1) securities                         |
| <input type="checkbox"/> (3) Foreign issuers   | <input type="checkbox"/> (2) commodities                                   |
| <input type="checkbox"/> B. Warrants   | <input type="checkbox"/> J. Futures contracts on:                          |
| <input checked="" type="checkbox"/> C. Corporate debt securities (other than commercial paper) | <input type="checkbox"/> (1) tangibles                                     |
| <input checked="" type="checkbox"/> D. Commercial paper  | <input type="checkbox"/> (2) intangibles                                   |
| <input checked="" type="checkbox"/> E. Certificates of deposit                                 | <input type="checkbox"/> K. Interests in partnerships investing in:        |
| <input checked="" type="checkbox"/> F. Municipal securities                                    | <input checked="" type="checkbox"/> (1) real estate                        |
| <input type="checkbox"/> G. Investment company securities:                                     | <input checked="" type="checkbox"/> (2) oil and gas interests              |
| <input checked="" type="checkbox"/> (1) variable life insurance                                | <input type="checkbox"/> (3) other (explain on Schedule F)                 |
| <input checked="" type="checkbox"/> (2) variable annuities                                     | <input type="checkbox"/> L. Other (explain on Schedule F)                  |
| <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 type="checkbox"/> Charting               | (4) <input 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 |
| (3) <input checked="" type="checkbox"/> Research materials prepared by others | Securities and Exchange Commission   |
| (4) <input checked="" type="checkbox"/> Corporate rating services             | (7) <input checked="" type="checkbox"/> Company press releases                         |
|   | (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 type="checkbox"/> Trading (securities sold within 30 days)                            | (7) <input type="checkbox"/> Other (explain on Schedule F)  |
| (4) <input type="checkbox"/> Short sales   |   |

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**Part II - Page 4**

Applicant: Warden Wealth Management,  
LLC

SEC File Number:  
801- 70370

Date:  
08/12/2009

**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, please 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 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
- year of birth
- formal education after high school
- 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:
  - ☐ (1) broker-dealer
  - ☐ (2) investment company
  - ☐ (3) other investment adviser
  - ☐ (4) financial planning firm
  - ☐ (5) commodity pool operator, commodity trading adviser or futures commission merchant
  - ☐ (6) banking or thrift institution
  - ☐ (7) accounting firm
  - ☐ (8) law firm
  - ☒ (9) insurance company or agency
  - ☐ (10) pension consultant
  - ☐ (11) real estate broker or dealer
  - ☐ (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)**

Applicant: Warden Wealth Management,  
LLC

SEC File Number:  
801- 70370

Date:  
08/12/2009

**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 sell for itself securities it also recommended to clients.

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

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

- 10. Conditions for Managing Accounts.** Does the applicant provide investment advisory 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 condition 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 account, 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.

All Investment Advisory accounts are reviewed by Thomas J. Warden or qualified staff members. Accounts are reviewed at the time a Client enters into an Investment Advisory Agreement. Thereafter, accounts are reviewed at least annually, however accounts are typically reviewed monthly or quarterly based on the Client's investment objectives. Accounts are reviewed as to the portfolio asset allocation, performance of individual holdings, and individual security weightings.

More frequent reviews may be triggered by a change in Client investment objectives, tax considerations, large deposits or withdrawals, large sales or purchases, or material market, political, or economic events.

Financial Planning Clients receive their financial plans and recommendations at the time service is completed. Depending on the scope of financial planning services requested, WWM may additionally meet on a regular basis with clients to discuss any potential changes to their financial plan.

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

Investment Advisory Clients receive standard account statements from their designated custodian on a monthly basis. Quarterly account statements detailing portfolio holdings and performance will be provided to Clients who meet an assets under management minimum of \$250,000. Certain Clients who do not meet the \$250,000 asset level may also receive a quarterly account statement.

Financial Planning Clients that do not utilize WWM for investment advisory services do not normally receive investment reports.

**12. Investment or Brokerage Discretion.**

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

- |  |                                     |                                     |
|--|-------------------------------------|-------------------------------------|
|  | Yes                                 | No                                  |
| (1) securities to be bought or sold? .....           | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| (2) amount of securities to be bought or sold? ..... | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| (3) broker or dealer to be used? .....               | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| (4) commission rates paid? .....                     | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |

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

Yes	No
<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

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

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

- has custody of client funds or securities (unless applicant is registered or registering only with the Securities and Exchange Commission); or
- 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
<input type="checkbox"/>	<input checked="" type="checkbox"/>

**Schedule F of  
Form ADV**Applicant:  
Warden Wealth Management,  
LLCSEC File Number:  
801- 70370Date:  
08.12.2009

Continuation Sheet for Form ADV Part II

(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: Warden Wealth Management, LLC	IRS Empl. Ident. No.: 26-4717326
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Item of Form (identify)	Answer								
1(A)	<p><b>ADVISORY SERVICES AND FEES</b></p> <p>Warden Wealth Management, LLC ("WWM") is a Wisconsin corporation located in Milwaukee, Wisconsin. The firm specializes in providing a high level of investment advisory services and financial planning to Clients seeking to implement a long-term comprehensive investment strategy. A comprehensive level of personal attention, advice and service is provided by gaining a deep understanding of the complex problems Clients face; which typically include need for current income or growth, risk and volatility tolerance, tax considerations, asset allocation, wealth preservation, or wealth transfer. Warden Wealth Management's services and customary fees are described below.</p> <p><u>Investment Advisory Services</u></p> <p>Investment Advisory Services are provided to Clients beginning by gaining an in-depth understanding of the complex problems they face. This begins by discussing and reviewing the Client's current financial situation, family dynamic, investment objectives and tolerance for risk and volatility. With this information, a specific strategy is decided upon, and the implementation begins by developing a timeframe for implementation and determining a strategic asset allocation model. The allocation model will guide which asset classes (and at what amounts) will be included or excluded from the Client's portfolio. Other concerns, such as coordinating with Clients' attorney or accountant are also included as part of the strategy.</p> <p>Securities used to implement the strategy will typically include mutual funds, ETF's, individual stocks, and individual bonds. Each individual Client has different specific objectives, constraints, and concerns, therefore advice given to any client may differ from advice given, or the timing and nature of the action taken, with respect to other client portfolios.</p> <p>Advisory services are provided on a discretionary or non-discretionary basis, as instructed by the Client in the Investment Advisory Agreement.</p> <p>Fees for advisory services are typically a percentage of assets under management and are payable quarterly, in advance. Fees are calculated using the market value of the account as of the last day of the prior quarter (not adjusted for any margin balance) subject to the following fee schedule:</p> <table><thead><tr><th><u>Assets Under Management</u></th><th><u>Annual Fee</u></th></tr></thead><tbody><tr><td>First \$5,000,000</td><td>2.00%</td></tr><tr><td>Next \$5,000,000</td><td>1.00%</td></tr><tr><td>Amounts Above \$10,000,000</td><td>0.75%</td></tr></tbody></table> <p>WWM may also be compensated on an hourly rate of \$250.00 per hour, or a flat fee agreed upon by WWM and Client. There is a minimum annual fee of \$7,500. Fees are generally negotiable. Fees are billed directly to, and debited from, the Client's account generally by the 10<sup>th</sup> day of the new quarter unless other arrangements for payment are requested by the Client. In all cases, the fee arrangement is described in the Client's Investment Advisory Agreement.</p> <p>The Investment Advisory Agreement for services between the Client and WWM may be terminated at any time upon receipt of 30 days advance written notice from one party to the other. Upon termination of any account, any prepaid, unearned fees will be refunded.</p>	<u>Assets Under Management</u>	<u>Annual Fee</u>	First \$5,000,000	2.00%	Next \$5,000,000	1.00%	Amounts Above \$10,000,000	0.75%
<u>Assets Under Management</u>	<u>Annual Fee</u>								
First \$5,000,000	2.00%								
Next \$5,000,000	1.00%								
Amounts Above \$10,000,000	0.75%								

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

**Schedule F of  
Form ADV**Applicant:  
Warden Wealth Management,  
LLCSEC File Number:  
801- 70370Date:  
08.12.2009

Continuation Sheet for Form ADV Part II

(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: Warden Wealth Management, LLC	IRS Empl. Ident. No.: 26-4717326
Item of Form (identify)	Answer	
1(B)	<p><u>Financial Planning Services</u></p> <p>Warden Wealth Management, LLC provides financial planning services to meet a variety of Clients' needs. Typical clients served are pre-retirees, retirees, families with accumulated wealth, and business owners or executives. The scope of financial planning services may include:</p> <ul style="list-style-type: none"><li>Investment Planning</li><li>Retirement Income Strategies</li><li>Goal Funding / Capital Needs Analysis</li><li>Estate Planning</li><li>Wealth Transfer Strategies</li><li>Business Succession Planning</li><li>College Funding</li><li>Tax Planning</li></ul> <p>A thorough understanding of a Client's needs and concerns are gained through initial consultations. A written financial plan will be developed for each financial planning Client based on the scope of services agreed upon, and will generally be based on the Client's age, income level, assets, liabilities, economic goals, tax situation, investment goals, tolerance for risk or volatility, or any other parameters outlined by the Client.</p> <p>The planning services will include the gathering of all information from Client's other advisors necessary to provide the Client with the appropriate and agreed upon services. WWM recommends that Clients consult with their CPA or Attorney regarding issues relating to tax and legal advice.</p> <p>Fees for financial planning services are based on an hourly rate of \$250.00 per hour. The fee may be negotiable, depending upon the scope of service, complexity of the Client situation, as well as the degree of service selected by the Client. The fee is due at the time of service.</p> <p>Services may also be performed on a fixed fee basis. In these cases, a retainer equal to one-half the fixed fee is due at the time of engagement. The remaining balance will be billed in equal installments on a monthly basis until the project is completed.</p> <p>Clients can retain WWM to provide financial planning services on an ongoing basis, or to conduct periodic reviews of their plans for an hourly or fixed fee.</p> <p>In all cases, the scope of service and fee arrangement is described in the Client's Financial Planning Agreement.</p> <p><u>General Information on Fees and Services</u></p> <p>Fees are generally negotiable and may be waived for certain services.</p> <p>The fee for any partial quarter at the commencement or termination of the Investment Advisory Agreement will be billed or refunded on a pro-rated basis calculated using the number of days the account was open during the quarter. Adjustments for additional assets received into the account during a quarter will also be provided on the above pro-rata basis. No adjustment or refund is made with respect to partial withdrawals during the quarter.</p>	

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



**Schedule F of  
Form ADV**

Applicant: Warden Wealth Management, LLC	SEC File Number: 801- 70370	Date: 08.12.2009
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Continuation Sheet for Form ADV Part II

(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: Warden Wealth Management, LLC	IRS Empl. Ident. No.: 26-4717326						
	Item of Form (identify)	Answer						
		<p>Mutual funds, ETF's, and money market funds may be utilized in client portfolios. These investment vehicles charge fees and expenses to their shareholders, which are described in each Fund's prospectus, and will generally include a management fee, other fund expenses, or a distribution fee. These fees and expenses, which the client incurs, are in addition to the investment advisory fee charged by WWM. Accordingly, Clients should review both the fees charged by the funds and the fees charged by WWM to fully understand the total amount of fees to be paid by the Client and to thereby evaluate the advisory services being provided.</p> <p>Fees are not calculated on the basis of a share of capital gains or capital appreciation of the funds in an advisory Client.</p> <p>WWM does not accept custody of Client funds or securities. The fee paid to WWM does not include custodial, transaction, or other service costs incurred in connection with a Client's account.</p>						
5		<p>EDUCATION AND BUSINESS STANDARDS</p> <p>As a general standard, WWM individuals involved in determining or giving investment advice to Clients must hold a degree from an accredited university and/or have a minimum of five years experience in the financial services or financial planning industry.</p> <p>All WWM employees must demonstrate and adhere to the highest ethical standards. Candidates with a history of security violations, and other industry related problems are not considered.</p>						
6		<p>EDUCATION AND BUSINESS BACKGROUND</p> <p><b>Thomas J. Warden, Born 1971</b></p> <p><u>Business Background</u></p> <table border="0"> <tr> <td><i>Warden Wealth Management, LLC</i></td> <td>Founder and President 07/2009 - present</td> </tr> <tr> <td><i>Morgan Stanley Global Wealth Management</i></td> <td>Financial Advisor 06/2006 – 07/2009</td> </tr> <tr> <td><i>Piper Jaffray Private Wealth Management</i></td> <td>Financial Advisor 02/1997 – 06/2006</td> </tr> </table> <p><u>Education Background</u></p> <p>Marquette University, 1994 Bachelor of Science College of Engineering</p>	<i>Warden Wealth Management, LLC</i>	Founder and President 07/2009 - present	<i>Morgan Stanley Global Wealth Management</i>	Financial Advisor 06/2006 – 07/2009	<i>Piper Jaffray Private Wealth Management</i>	Financial Advisor 02/1997 – 06/2006
<i>Warden Wealth Management, LLC</i>	Founder and President 07/2009 - present							
<i>Morgan Stanley Global Wealth Management</i>	Financial Advisor 06/2006 – 07/2009							
<i>Piper Jaffray Private Wealth Management</i>	Financial Advisor 02/1997 – 06/2006							

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

**Schedule F of  
Form ADV**Applicant:  
Warden Wealth Management,  
LLCSEC File Number:  
801- 70370Date:  
08.12.2009

Continuation Sheet for Form ADV Part II

(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: Warden Wealth Management, LLC	IRS Empl. Ident. No.: 26-4717326
Item of Form (identify)	Answer	
7.B. and 8.C(9)	<b>OTHER FINANCIAL ACTIVITIES OR AFFILIATIONS</b>  In addition to providing investment advice and financial planning services, WWM may be involved with advising Clients on their various insurance products as part of the Client's comprehensive financial goals. As a result of this advice, Advisor principal, Thomas J. Warden, is a licensed insurance agent. As a licensed agent, he must maintain his license with the appropriate states and comply with their rules and continuing education requirements. Clients are typically referred to an outside agent to implement any new insurance products. However, in the event that a client implements an insurance product through Thomas J. Warden, he will receive an economic benefit in the form of a commission paid by the applicable insurance agency. Only insurance products which are suitable and appropriate for a particular Client's needs, will be offered through Thomas J. Warden.  WWM may also review, analyze, or advise Clients on their existing variable life / annuity type contracts. WWM is not securities licensed for these product types and does not collect commissions from these products. WWM may charge a consulting fee, retainer fee, or hourly fee to review or analyze these products for a Client.  Thomas J. Warden serves as a volunteer, and serves as a Board Member / Director for various non-profit and community organizations. WWM does not manage money for any of these organizations.	
9	<b>PARTICIPATION OR INTEREST IN CLIENT TRANSACTIONS</b>  WWM has adopted a Code of Ethics expressing the firm's commitment to ethical conduct. All employees are required to follow the Code of Ethics, which outlines proper conduct related to all services provided to Clients. Prompt reporting of internal violations is mandatory and WWM's Chief Compliance Officer regularly evaluates employee performance to ensure compliance with the Code of Ethics.  WWM or individuals associated with WWM may buy or sell securities that also are recommended to buy or sell for Clients. In all instances, it is the expressed policy of WWM that no person employed by the firm shall prefer his or her own interest to that of an advisory Client. In some cases WWM or individuals associated with WWM may buy or sell securities for their own account for reasons not related to the strategies adopted by Clients.  When WWM is newly engaged by an investment advisory Client for whom it expects to recommend securities in which WWM or its principal holds a position, WWM will notify the new Client of its policies in respect to officers trading in their own account.  WWM will disclose to advisory Clients any material conflict of interest relating to WWM, its representatives, or any employees which could reasonably be expected to impair the rendering of unbiased or objective advice.  A copy of the Code of Ethics is available to any Client or prospective Client upon request.	

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

**Schedule F of  
Form ADV**Applicant:  
Warden Wealth Management,  
LLCSEC File Number:  
801- 70370Date:  
08.12.2009

Continuation Sheet for Form ADV Part II

(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: Warden Wealth Management, LLC	IRS Empl. Ident. No.: 26-4717326
Item of Form (identify)	Answer	
10	CONDITIONS FOR MANAGING ACCOUNTS  WWM may impose a minimum account size of \$100,000 for Clients receiving investment advisory services. However this minimum may be waived at WWM's discretion.  WWM may also charge a minimum fee to accounts receiving investment advisory services. This minimum may be waived at WWM's discretion. In all cases, the fee arrangement is described in the Client's Investment Advisory Agreement.	
12(A)(B)	INVESTMENT OR BROKERAGE DISCRETION  WWM provides advisory services on both discretionary and non-discretionary basis, as instructed by the Client in the Investment Advisory Agreement. For "Discretionary" Clients, generally WWM has the authority to determine, without obtaining specific Client consent, the securities bought or sold and the amount of securities bought or sold and commission rates paid. The only restrictions on the above discretionary authority are those set by the Client on a case by case basis. WWM makes it a practice to question Clients to determine if there are any limitations to the WWM's discretionary authority on the above matters.  Except to the extent that the Client directs otherwise, WWM may use its discretion in selecting or recommending the broker-dealer. The Client is not obligated to effect transactions through any broker-dealer recommended by WWM. In recommending broker-dealers, WWM will generally seek "best execution." In recommending a broker-dealer WWM will comply with its fiduciary duty to obtain best execution and with the Securities Exchange Act of 1934 and will take into account such relevant factors as (a) price, (b) the broker-dealer's facilities, reliability and financial responsibility, (c) the ability of the broker-dealer to effect transactions, particularly with regard to such aspects as timing, order size and execution of order, (d) the research and related brokerage services provided by such broker or dealer to WWM, notwithstanding that the account may not be the direct or exclusive beneficiary of such services and (e) any other factors WWM considers to be relevant.  Recommending a broker dealer can create a conflict of interest. Accordingly WWM has established the following restrictions in order to ensure its fiduciary responsibilities:  <ol style="list-style-type: none"><li>1. A director, officer, associated person, or employee of WWM shall not buy or sell securities for his personal portfolio where his decision is substantially derived, in whole or in part, by reason of his employment unless the information is also available to the investing public or reasonable inquiry. No person of WWM shall prefer his or her own interest to that of the advisory Client.</li><li>2. WWM maintains a list of all securities holdings for itself and anyone associated with its advisory practice with access to advisory recommendations. These holdings are reviewed on a regular basis by an appropriate officer of WWM.</li><li>3. If WWM receives separate compensation for effecting transactions on the Client's behalf such compensation arrangements will be fully disclosed to Client.</li><li>4. WWM emphasizes the unrestricted right of the Client to select and choose any broker or dealer, and/or insurance company he/she wishes.</li></ol>	

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

**Schedule F of  
Form ADV**Applicant:  
Warden Wealth Management,  
LLCSEC File Number:  
801- 70370Date:  
08.12.2009

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Item of Form (identify)	Answer	
13(A)	<p>5. WWM requires that all individuals must act in accordance with all applicable federal and state regulations governing registered investment advisory practices.</p> <p>6. Any individual not in observance of the above may be subject to termination.</p> <p>ADDITIONAL COMPENSATION</p> <p>WWM may recommend that Clients establish brokerage accounts with Fidelity Brokerage Services LLC, Member NYSE, SIPC to maintain custody of Client assets and effect trades for their accounts. This is the institutional division of Fidelity Investments that provides WWM with access to its institutional trading and operational services, which are typically not available to Fidelity retail investors.</p> <p>Fidelity's services to WWM are fully disclosed in their Client Account Agreement, and include services such as research, brokerage, custody, access to mutual funds and other investments that are otherwise available only to institutional investors or would require a significantly higher minimum initial investment. Fidelity also makes available to WWM other products and services that benefit WWM but may not benefit its Clients' accounts. For instance software or technology that provide access to client account data (such as trade confirmations and statements), facilitate trade execution, provide research, pricing information, and other market data, facilitate payment of WWM's fees from its Clients' accounts, and assist with back-office support, recordkeeping and client reporting. Many of these services generally may be used to service all or a substantial number of WWM's accounts, including accounts not maintained at Fidelity. Fidelity may also provide other services intended to help WWM manage and further develop business, which may include consulting, publications and presentations on practice management, information technology, business succession, regulatory compliance, and marketing. Fidelity may discount or waive fees it would otherwise charge for some of these services or pay all or a part of the fees for a third-party providing these services to WWM.</p> <p>As a result of receiving the types of services as mentioned above at a discount or no cost, this interest may conflict with the Clients' interest of obtaining the lowest commission rate available. Therefore, WWM must determine in good faith, based on the "best execution" policy of the Securities Exchange Act of 1934 that such commissions are reasonable in relation to the value of the services provided by the executing broker-dealer.</p>	

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