

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

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Name of Investment Adviser:

Doza Investments, LLC

Address: (Number and Street)

1415 Panther Lane, Suite 310

(City)

Naples

(State)

FL

(Zip Code)

34109-7874

Area Code: Telephone Number:

(239) 593-6114

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

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

**Potential persons who are 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:

Doza Investments, LLC

SEC File Number:

801-N/A

Date:

03/15/2010**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. **Estimate**
(See instruction below.)**Applicant:**

- | | | | |
|-------------------------------------|-----|---|------------|
| <input checked="" type="checkbox"/> | (1) | Provides investment supervisory services | <u>80%</u> |
| <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 | <u>20%</u> |

(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
☐ ☒**C.** Applicant offers investment advisory services for: (check all that apply)

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

FORM ADV**Part II - Page 3**

Applicant:

Doza Investments, LLC

SEC File Number:

801- **N/A**

Date:

03/15/2010**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 | I. Options contracts on: |
| <input checked="" type="checkbox"/> (3) foreign issues | <input checked="" type="checkbox"/> (1) securities |
| | <input type="checkbox"/> (2) commodities |
| <input checked="" type="checkbox"/> B. Warrants | J. Futures contracts on: |
| | <input type="checkbox"/> (1) tangibles |
| <input checked="" type="checkbox"/> C. Corporate debt securities
(other than commercial paper) | <input type="checkbox"/> (2) intangibles |
| <input checked="" type="checkbox"/> D. Commercial paper | 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 checked="" type="checkbox"/> (3) other (explain on Schedule F) |
| 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 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 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:

Doza Investments, LLC

SEC File Number:

801-N/A

Date:

03/15/2010**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 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:

Doza Investments, LLC

SEC File Number:

801- **N/A**

Date:

03/15/2010**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.)

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

- 10. Conditions for Managing Accounts.** Does the applicant provide investment supervisory services, manage investment advisory accounts or hold itself out as providing financial planning or some similarly termed services *and* impose a minimum dollar value of assets or other conditions for starting or maintaining an account?

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

(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.

Please refer to Schedule F, Item 11.A.

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

Please refer to Schedule F, Item 11.B.

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

Applicant:

Doza Investments, LLC

SEC File Number:

801-N/A

Date:

03/15/2010

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 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

☐ ☒

**Schedule F of
Form ADV**

Continuation Sheet for Form ADV Part II

Applicant:	SEC File Number:	Date:
Doza Investments, LLC	801- NA	03/15/2010

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Doza Investments, LLC	IRS Empl. Ident.No.: 27-0491614
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Item of Form (identify)	Answer
Item 1. D.	<p><u>Advisory Services and Fees</u></p> <p>Doza Investments, LLC (hereinafter "Doza Investments" or the "Firm") offers personalized investment advisory services to individuals, pension and profit sharing plans, trusts, estates, charitable organizations, corporations and other business entities. The Firm's services and fee arrangements are described in the following pages.</p> <p>Doza Investments is a limited liability company formed under the laws of the State of Florida. Individuals associated with Doza Investments will provide its investment advisory services. These individuals are appropriately licensed, qualified, and/or authorized to provide advisory services on Doza Investments' behalf. Such individuals are known as Investment Adviser Representatives (IARs).</p> <p>Please contact Thomas Amendola, Managing Member/Chief Compliance Officer, if you have any questions about this Schedule F narrative. Additional information about Doza Investments is available on the Internet at www.adviserinfo.sec.gov. You can search this site by a unique identifying number, known as a CRD number. The CRD number for Doza Investments is 150944.</p> <p><u>Portfolio Management Services</u></p> <p>Doza Investments provides discretionary continuous investment management services where the investment advice provided is custom tailored to meet the needs and investment objectives of the Client. Subject to any written guidelines, which the Client may provide, the Firm will be granted discretion and authority to manage the account. Accordingly, Doza Investments is authorized to perform various functions, at the Client's expense, without further approval from the Client. Such functions include the determination of the types and amounts of securities to be purchased and/or sold. Once the portfolio is constructed, Doza Investments provides continuous supervision and re-optimization of the portfolio as changes in market conditions and Client circumstances may require.</p> <p>The annual fee for asset management services is billed quarterly in advance based on the market value of the assets on the last day of the prior quarter. Fees will be assessed pro rata in the event the asset management agreement is executed at any time other than the first day of a calendar quarter. On an annualized basis, the Firm charges a portfolio management fee of 1% of assets under management; however, The Firm generally imposes a minimum annual fee of \$5,000. Under no circumstances will the total fee charged by the Firm exceed 3% of the Client's assets under management. Portfolio management fees may be negotiable depending on factors such as the amount of assets under management, range of investments, and complexity of the Client's financial circumstances, among others. Doza Investments generally requires a minimum of \$250,000 to open and maintain a portfolio management account. However, this account minimum may be waived at the discretion of the Firm.</p> <p>Typically, the Firm will directly debit client accounts for the payment of portfolio management fees. If Doza Investments directly debits a client's account, payment of fees will be made by the custodian holding the client's funds and securities provided that the following requirements are met:</p> <ul style="list-style-type: none">▪ The client provides written authorization permitting the fees to be paid directly from the client's account held by the custodian. The Firm does not have access to client funds for payment of fees without client consent in writing.▪ The Firm sends the client an invoice showing the amount of the fee, the value of the

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:	SEC File Number:	Date:
Doza Investments, LLC	801- NA	03/15/2010

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Doza Investments, LLC		IRS Empl. Ident.No.: 27-0491614
Item of Form (identify)	Answer	
Item 1. D. (continued)	<p>client's assets on which the fee is based, and the specific manner in which the fee was calculated.</p> <ul style="list-style-type: none">▪ The custodian agrees to send the client and the advisor a statement, at least quarterly, indicating all amounts dispersed from the account including the amount of the advisory fee paid directly to the Firm. <p>In limited circumstances, upon request, Doza Investments may agree to directly invoice clients for advisory fees. In such cases, fees will be payable as invoiced instead of directly debited.</p> <p>Doza Investments or the Client may terminate the management agreement within five days of the date of acceptance without penalty to the Client. After the five-day period, upon 30-days written notice to the other, either party may terminate the management agreement. The management fee will be pro-rated for the quarter in which the cancellation notice was given and any unearned fees will be returned to the Client.</p> <p><u>Selection of Other Advisors</u></p> <p>Doza Investments may recommend that Clients utilize the services of a third party investment adviser ("TPA") to manage a portion of, or their entire portfolio. All TPAs that the Firm recommends to its Clients must either be registered as investment advisers with the Securities and Exchange Commission or with the appropriate state authority(ies) or exempt from registration.</p> <p>After gathering information about the Client's financial situation and objectives, an IAR of Doza Investments will make recommendations regarding the suitability of a TPA or investment style based on, but not limited to, the Client's financial needs, investment goals, tolerance for risk, and investment objectives. Upon selection of a TPA(s), Doza Investments will monitor the performance of the TPA(s) to ensure their performance and investment style remains aligned with the investment goals and objectives of the Client.</p> <p>Doza Investments will share in the fee paid by the Client to the TPA. Clients who are referred to TPAs will receive full disclosure, including services rendered and fee schedules, at the time of the referral by delivery of a copy of the relevant TPA's Form ADV Part II or equivalent disclosure document. In addition, if the investment program recommended to a Client is a wrap fee program, the Client will also receive the Schedule H or equivalent wrap fee brochure provided by the sponsor of the program. The Firm will provide to each Client all appropriate disclosure statements, including disclosure of solicitation fees paid to Doza Investments and its IARs.</p> <p>Fees paid by the Client to the TPA are established and payable in accordance with the Form ADV Part II or other equivalent disclosure document provided by each TPA to whom the Client is referred and these fees may or may not be negotiable. Such compensation may differ depending upon the Firm's individual agreement with each TPA. Such situations create conflicts of interests, since Doza Investments or its IARs may have an incentive to recommend one TPA over another TPA with whom it has less favorable, or no, compensation arrangements. The Firm adheres to high fiduciary standards, the intention of which is to protect Client interests at all times and to demonstrate its commitment to its duties of honesty, good faith and fair dealing with Clients.</p> <p>Clients may be required to sign an agreement directly with the TPA(s) selected. The Client, the Firm or the TPA, in accordance with the provisions of those agreements, may terminate</p>	
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:	SEC File Number:	Date:
Doza Investments, LLC	801- NA	03/15/2010

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Doza Investments, LLC		IRS Empl. Ident.No.: 27-0491614
Item of Form (identify)	Answer	
Item 1. D. (continued)	<p>the advisory relationship. If the TPA is compensated in advance, the Client will typically receive a pro rata refund of any prepaid advisory fees upon termination of an advisory agreement.</p> <p><u>Pension Consulting Services</u></p> <p>Doza Investments will provide pension consulting services to employee benefit plans, the plan sponsors and fiduciaries (collectively, the "Sponsor") based upon an analysis of the needs of the plan. In general, these services may include an existing plan review, formation of an investment policy statement, assisting the Sponsor in fund selection and investment options, investment performance monitoring, risk management education, and/or ongoing consulting. Additionally, Doza Investments will offer the Sponsor assistance in setting up a relationship with a third party administrator and processing enrollment forms. Doza Investments may also offer communication and education services to provide meaningful information regarding the retirement plan to its Participants. Information provided to participants in the educational seminars will be limited to general, impersonal advice.</p> <p>Pension Consulting services will be provided pursuant to the agreement entered into and within the parameters set forth in the plan documents. Where the Sponsor engages Doza Investments to provide advice to participants on an individual basis, such advice will be limited to general retirement planning issues, and fund selection and asset allocation of plan assets.</p> <p>Plan Participants who wish to engage Doza Investments for individualized financial planning or consulting services outside the scope of the qualified plan may do so by executing a separate agreement, including separate fees and fee payment arrangements, with Doza Investments.</p> <p>The scope of these services, the fees, and the terms of the agreement for these services will be negotiated on a case-by-case basis with each Sponsor. The Firm may be compensated based on a fee based on percentage of assets, or a combination of fee arrangements based on the complexity of the plan and the agreement with the Sponsor. In any case, Doza Investments will not have access to plan funds for payment of fees without written consent. The terms regarding payment of fees, termination, and refunds will be clearly set forth in the agreement executed between the Firm and the Sponsor. The Firm will not receive additional compensation beyond the consulting fees for its pension consulting services.</p> <p>All accounts are regulated under ERISA. Doza Investments will provide consulting services to the Sponsor and the Participants as described above. The named Sponsor must make the ultimate decision as to retaining Doza Investments for pension consulting services. The Sponsor is free to seek independent advice about the appropriateness of any recommended services for the plan.</p> <p>Doza Investments or the Sponsor may terminate the pension consulting agreement within five business days of the date of acceptance without penalty to the Client. After the five-day period, either party may terminate the pension consulting agreement by providing written notice to the other party. The Sponsor may incur a charge for services rendered prior to such termination. If applicable, any unearned fees will be refunded on a pro rata basis.</p>	

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:

Doza Investments, LLC

SEC File Number:

801- NA

Date:

03/15/2010

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Doza Investments, LLC		IRS Empl. Ident.No.: 27-0491614
Item of Form (identify)	Answer	
Item 1. D. (continued)	<p>General Information on Advisory Services and Fees</p> <p>The fees charged 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 (15 U.S.C. §80b-5(a)(1)).</p> <p>Doza Investments do not represent, warrant, or imply that the services or methods of analysis employed by the Firm can or will predict future results, successfully identify market tops or bottoms, or insulate Clients from losses due to market corrections or declines.</p> <p>Advice offered by Doza Investments may involve investment in mutual funds. Clients are hereby advised that all fees paid to Doza Investments for investment advisory services are separate and distinct from the fees and expenses charged by mutual funds (described in each fund's prospectus) to their shareholders. These fees will generally include a management fee and other fund expenses. Further, there may be transaction charges involved with purchasing or selling of securities. Doza Investments do not share in any portion of the brokerage fees/transaction charges imposed by the custodian holding the Client funds or securities. The Client should review all fees charged by mutual funds, Doza Investments, and others to fully understand the total amount of fees to be paid by the Client.</p>	
Item 3. K(3) Item 3. L.	<p>Types of Investments</p> <p>Clients of Doza Investments may be advised to invest in various investment related limited partnerships. Doza Investments reserves the right to advise Clients on any other type of investment that it deems appropriate based on the Client's stated goals and objectives. Doza Investments may also provide advice on any type of investment held in a Client's portfolio at the inception of the advisory relationship or on any investment on which the Client requests advice.</p>	
Item 5.	<p>Education and Business Standards</p> <p>IARs of Doza Investments must meet all examination or experience requirements of the states and/or jurisdictions in which the IAR provides advisory services.</p>	
Item 6.	<p>Education and Business Background</p> <p>Thomas Arthur Amendola <i>Year of Birth:</i> 1955 <i>Formal Education after High School:</i> <ul style="list-style-type: none"> ▪ Pennsylvania State University, B.S, Finance, 1977 <i>Business Background for the Previous Five Years:</i> <ul style="list-style-type: none"> ▪ Doza Investments, LLC, Managing Member/Chief Compliance Officer, 06/2009 to Present. ▪ GunnAllen Financial, Inc., Registered Principal, 12/2001 to 07/2009. </p>	
Item 7. A. & 7. B.	<p>Other Business Activities</p> <p>Doza Investments offers general financial and business consulting services to Clients. These services may include, but are not limited to, evaluation of the Client's business, risk management, business planning, advisory consulting services to business owners in the sale of their business, and assistance in the overall structuring of a business succession deal, among others. It is expected that some Clients for whom these services are provided may also become investment advisory Clients. Clients to whom the Firm offers advisory services are informed that they are under no obligation to use the Firm for business consulting services.</p>	

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:	SEC File Number:	Date:
Doza Investments, LLC	801- NA	03/15/2010

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Doza Investments, LLC		IRS Empl. Ident.No.: 27-0491614
Item of Form (identify)	Answer	
Item 7. C.	<p>Thomas Amendola, Managing Member, is involved in various non-securities related outside businesses as an investor and/or officer. This includes investments in Doza Investments I and II, Blue Martini South, LLC, Therm-Med, LLC, K.C. Energy, LLC, San-Path, LLC, TEK Investments, Inc., Bioforce Nanoscience, Inc. and Eragen Bioscience, Inc. Clients will not be solicited to invest in such entities. Mr. Amendola spends less than 5% of his professional time in such capacities.</p> <p>Thomas Amendola, Managing Member of Doza Investments, is also licensed as an insurance agent. As such, Mr. Amendola may effect transactions in insurance products for Clients and earn commissions for these activities. Clients are instructed that the fees paid to the Firm for advisory services are separate and distinct from the commissions earned by Mr. Amendola for placing the Client in insurance products. Clients to whom the Firm offers advisory services are informed that they are under no obligation to use Doza Investments or its IARs for insurance services and may use the insurance brokerage firm and agent of their choosing.</p>	
Item 9. E.	<p><u>Participation or Interest in Client Transactions</u></p> <p>Doza Investments has adopted a Code of Ethics, the full text of which is available to Clients and prospective Clients upon request. Doza Investments has several goals in adopting this Code. First, the Firm desires to comply with all applicable laws and regulations governing its practice. The management of Doza Investments has determined to set forth guidelines for professional standards, under which all associated persons of Doza Investments are to conduct themselves. Doza Investments has set high standards, the intention of which is to protect Client interests at all times and to demonstrate its commitment to its fiduciary duties of honesty, good faith and fair dealing with Clients. In addition, Doza Investments maintains and enforces written policies reasonably designed to prevent the misuse of material non-public information by Doza Investments or any person associated with the Firm.</p> <p><i>Privacy Policies</i></p> <p>The Firm views protecting its customers' private information as a top priority and, pursuant to the requirements of the Gramm-Leach-Bliley Act, the Firm has instituted policies and procedures to ensure that customer information is kept private and secure.</p> <p>The Firm does not disclose any nonpublic personal information about its customers or former customers to any non-affiliated third parties, except as permitted by law. In the course of servicing a Client's account, the Firm may share some information with its service providers, such as transfer agents, custodians and broker-dealers. The Firm may also share non-public information with affiliated accounting Firms and law Firm as permitted by Clients.</p> <p>The Firm restricts internal access to nonpublic personal information about the Client to those employees who need to know that information in order to provide products or services to the Client. As emphasized above, it has always been and will always be the Firm policy never to sell information about current or former customers or their accounts to anyone. It is also the Firm's policy not to share information unless required to process a transaction, at the request of a customer, or as required by law.</p> <p>A copy of the Firm privacy policy notice will be provided to each Client prior to, or contemporaneously with, the execution of the advisory agreement. Thereafter, the Firm will deliver a copy of the current privacy policy notice to its Clients on an annual basis.</p>	

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:	SEC File Number:	Date:
Doza Investments, LLC	801- NA	03/15/2010

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Doza Investments, LLC		IRS Empl. Ident.No.: 27-0491614
Item of Form (identify)	Answer	
Item 10.	<p><u>Conditions for Managing Accounts</u></p> <p>Doza Investments generally impose a minimum of \$250,000 to open and maintain a portfolio management account. However, this account minimum may be waived at the discretion of Doza Investments if, for example, the Client appears to have significant potential for increasing assets under management. Also in its discretion, Doza Investments may combine household Client accounts to meet the stated minimum.</p>	
Item 11. A. & 11. B.	<p><u>Review of Accounts/ Reports to Clients</u></p> <p>Thomas Amendola, Managing Member of Doza Investments, monitors Client accounts on a continuous basis and conducts formal reviews at least annually. Additional reviews may be offered in certain circumstances. Triggering factors that may stimulate additional reviews include, but are not limited to, changes in economic conditions, changes in the Client's financial situation or investment objectives, or a Client's request.</p> <p>The custodian holding the Client's funds and securities will send the Client a brokerage statement at least quarterly.</p>	
Item 12. A. (1), (2)	<p><u>Investment or Brokerage Discretion</u></p> <p>Clients grant Doza Investments discretion over the selection of and the amount of securities to be bought or sold for their account without obtaining their prior consent or approval. However, the Firm's investment authority may be subject to specified investment objectives, guidelines, and/or conditions imposed by the Client. For example, a Client may specify that the investment in any particular stock or industry should not exceed specified percentages of the value of the portfolio and/or restrictions or prohibitions of transactions in the securities of a specific industry.</p>	
Item 12. B. Item 13. A.	<p><u>Suggestion of Brokers/Additional Compensation</u></p> <p>Doza Investments will generally recommend that a Client in need of brokerage and custodial services utilize Fidelity Brokerage Services, LLC ("Fidelity"), Member NYSE/SIPC. Fidelity offers independent investment advisers services, which include custody of Client securities, trade execution, clearance and settlement of transactions, and daily research and investment information.</p> <p>Doza Investments also participates in the TD Ameritrade Institutional program. TD Ameritrade Institutional is a division of TD Ameritrade, Inc. ("TD Ameritrade") member FINRA/SIPC. TD Ameritrade is an unaffiliated SEC-registered broker-dealer and FINRA member. TD Ameritrade offers to independent investment advisers, services which include custody of securities, trade execution, clearance and settlement of transactions. Doza Investments receives some benefits from TD Ameritrade through its participation in the program. (Please see the disclosure under Item 13.A. below). The Firm and/or its IARs may receive benefits such as assistance with conferences and educational meetings from product sponsors.</p> <p>There is no direct link between the Firm's participation in the TD Ameritrade Institutional program and the investment advice it gives to its Clients, although Doza Investments receives economic benefits through its participation in the program that are typically not available to TD Ameritrade retail investors. These benefits include the following products and services (provided without cost or at a discount): receipt of duplicate Client statements and confirmations; research related products and tools; consulting services; access to a trading desk serving adviser participants; access to block trading (which provides the ability</p>	

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**Schedule F of
Form ADV**

Continuation Sheet for Form ADV Part II

Applicant:	SEC File Number:	Date:
Doza Investments, LLC	801- NA	03/15/2010

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Doza Investments, LLC		IRS Empl. Ident.No.: 27-0491614
Item of Form (identify)	Answer	
Item 13. A. (continued)	<p>to aggregate securities transactions for execution and then allocate the appropriate shares to Client accounts); the ability to have advisory fees deducted directly from Client accounts; access to an electronic communications network for Client order entry and account information; access to mutual funds with no transaction fees and to certain institutional money managers; and discounts on compliance, marketing, research, technology, and practice management products or services provided to Doza Investments by third party vendors. TD Ameritrade may also have paid for business consulting and professional services received by Doza Investments' related persons. Some of the products and services made available by TD Ameritrade through the program may benefit Doza Investments but may not benefit its Client accounts. These products or services may assist Doza Investments in managing and administering Client accounts, including accounts not maintained at TD Ameritrade. Other services made available by TD Ameritrade are intended to help Doza Investments manage and further develop its business enterprise. The benefits received by the Firm or its personnel through participation in the program do not depend on the amount of brokerage transactions directed to TD Ameritrade. As part of its fiduciary duties to Clients, the Firm endeavors at all times to put the interests of its Clients first. Clients should be aware, however, that the receipt of economic benefits by Doza Investments or its related persons in and of itself creates a potential conflict of interest and may indirectly influence Doza Investments' choice of TD Ameritrade for custody and brokerage services.</p> <p>In selecting a broker dealer based on discretionary authority or in suggesting a broker dealer on behalf of a non-discretionary account, Doza Investments will endeavor to select those brokers or dealers that will provide the best services at the lowest commission rates possible. The reasonableness of commissions is based on several factors, including the broker's ability to provide professional services, competitive commission rates, volume discounts, execution price negotiations, the broker's reputation, experience and financial stability of the broker or dealer, and the quality of service rendered by the broker or dealer in other transactions.</p> <p>Best execution is not measured solely by reference to commission rates. Paying a broker a higher commission rate than another broker might charge is permissible if the difference in cost is reasonably justified by the quality of the brokerage services offered. In addition, Doza Investments may cause the account to pay a higher commission in recognition of the value of "research services" and additional brokerage products and services a broker-dealer has provided or may be willing to provide.</p> <p><i>Directed Brokerage</i></p> <p>In limited circumstances and at the Firm's discretion, some Clients may instruct Doza Investments to use one or more particular brokers for the transactions in their accounts. Clients who may want to direct the Firm to use a particular broker should understand that this may prevent Doza Investments from effectively negotiating brokerage compensation on their behalf and may also prevent Doza Investments from obtaining the most favorable net price and execution. Moreover, Clients that direct brokerage may incur additional costs for performance reporting. Thus, when directing brokerage business, Clients should consider whether the commission expenses, execution, clearance, and settlement capabilities that they will obtain through their broker are adequately favorable in comparison to those that Doza Investments would otherwise obtain for its Clients.</p> <p>Associated persons of Doza Investments, in their separate capacities as insurance agents, will sell insurance products and will receive additional compensation on the sale of such products.</p>	

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

Applicant:

Doza Investments, LLC

SEC File Number:

801- NA

Date:

03/15/2010

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Doza Investments, LLC		IRS Empl. Ident.No.: 27-0491614
Item of Form (identify)	Answer	
	<p>While Doza Investments and its associated persons, as part of their fiduciary duty, endeavor to put the interest of the Clients first, Clients should be aware that receipt of additional compensation itself creates a potential conflict of interest.</p> <p><u>Miscellaneous</u></p> <p><i>Aggregation of Orders</i></p> <p>The portfolio manager generally will aggregate orders with respect to a security if such aggregation is consistent with achieving best execution for the various Client accounts. Orders from different portfolio managers may be aggregated if such aggregation is consistent with achieving best execution for the various Client accounts. When orders are aggregated, each participating account, including proprietary accounts, will receive the weighted average share price for all transactions in a particular security effected to fill such orders on a given business day. Transaction costs will be shared pro rata based upon each account's participation in the transaction.</p> <p><i>Proxy Voting</i></p> <p>Doza Investments will not vote proxies on behalf of Client accounts. Although on rare occasions and only at the Client's request, Doza Investments may offer Clients advice regarding corporate actions and the exercise of proxy voting rights.</p> <p><i>Class Action Lawsuits</i></p> <p>From time to time, securities held in the accounts of Clients will be the subject of class action lawsuits. Doza Investments has no obligation to determine if securities held by the Client are subject to a pending or resolved class action lawsuit. It also has no duty to evaluate a Client's eligibility or to submit a claim to participate in the proceeds of a securities class action settlement or verdict. Furthermore, the Firm has no obligation or responsibility to initiate litigation to recover damages on behalf of Clients who may have been injured as a result of actions, misconduct, or negligence by corporate management of issuers whose securities are held by Clients.</p> <p>Where the Firm receives written or electronic notice of a class action lawsuit, settlement, or verdict affecting securities owned by a Client, it will forward all notices, proof of claim forms, and other materials, to the Client. Electronic mail is acceptable where appropriate, and the Client has authorized contact in this manner.</p>	

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