

FORM ADV

Uniform Application for Investment Adviser Registration

Part II - Page 1

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| OMB APPROVAL | |
| OMB Number: | 3235-0049 |
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| Hours per response... | 4.07 |

| | | | | |
|---|-------------------|-----------|--------------|------------------------------|
| Name of Investment Adviser: Haisman Wealth Management, Inc. | | | | |
| Address: (Number and Street) | (City) | (State) | (Zip Code) | Area Code: Telephone Number: |
| 6830 Porto Fino Circle, Suite One | Fort Myers | FL | 33912 | (239) 939-3235 |

**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.

| | | |
|--|--------------------------------------|---------------------------|
| Applicant: Haisman Wealth Management, Inc. | SEC File Number: 801-55611 | Date: 1-30-2009 |
|--|--------------------------------------|---------------------------|

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 | <u>92%</u> |
| <input checked="" type="checkbox"/> | (2) Manages investment advisory accounts not involving investment supervisory services | <u>1%</u> |
| <input checked="" type="checkbox"/> | (3) Furnishes investment advice through consultations not included in either service described above | <u>3%</u> |
| <input type="checkbox"/> | (4) Issues periodicals about securities by subscription | <u> %</u> |
| <input type="checkbox"/> | (5) Issues special reports about securities not included in any service described above | <u> %</u> |
| <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 | <u> %</u> |
| <input checked="" type="checkbox"/> | (7) On more than an occasional basis, furnishes advice to clients on matters not involving securities | <u>2%</u> |
| <input type="checkbox"/> | (8) Provides a timing service | <u> %</u> |
| <input checked="" type="checkbox"/> | (9) Furnishes advice about securities in any manner not described above | <u>2%</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 checked="" type="checkbox"/> (2) Hourly charges | <input type="checkbox"/> (5) Commissions |
| <input checked="" 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 checked="" 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 | |

Applicant:

Haisman Wealth Management, Inc.

SEC File Number:

801- 55611

Date:

1-30-2009

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 checked="" type="checkbox"/> (3) foreign issues | <input checked="" type="checkbox"/> (1) securities |
| | <input checked="" type="checkbox"/> (2) commodities |
| <input checked="" type="checkbox"/> B. Warrants | <input type="checkbox"/> J. Futures contracts on: |
| | <input checked="" type="checkbox"/> (1) tangibles |
| <input checked="" type="checkbox"/> C. Corporate debt securities (other than commercial paper) | <input checked="" 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 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) |
| <input type="checkbox"/> G. Investment company securities: | <input checked="" type="checkbox"/> L. Other (explain on Schedule F) |
| <input checked="" type="checkbox"/> (1) variable life insurance | |
| <input checked="" type="checkbox"/> (2) variable annuities | |
| <input checked="" type="checkbox"/> (3) mutual fund shares | |

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

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

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

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

- | | |
|---|--|
| (1) <input checked="" type="checkbox"/> Financial newspapers and magazines | (5) <input checked="" type="checkbox"/> Timing services |
| (2) <input 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 checked="" 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 checked="" type="checkbox"/> Other (explain on Schedule F) |
| (4) <input type="checkbox"/> Short sales | |

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

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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.)

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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
-

(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.

See Item 11.A. on Schedule F.

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

See Item 11.C. on Schedule F.

| | | |
|--|--------------------------------------|---------------------------|
| Applicant: Haisman Wealth Management, Inc. | SEC File Number: 801-55611 | Date: 1-30-2009 |
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12. Investment or Brokerage Discretion.

- A. Does applicant or any related person have authority to determine, without obtaining specific client consent, the:
- | | | |
|--|---|-----------------------------|
| (1) securities to be bought or sold? | Yes <input checked="" type="checkbox"/> | No <input type="checkbox"/> |
| (2) amount of the securities to be bought or sold? | Yes <input checked="" type="checkbox"/> | No <input type="checkbox"/> |
| (3) broker or dealer to be used? | Yes <input checked="" type="checkbox"/> | No <input type="checkbox"/> |
| (4) commission rates paid? | Yes <input checked="" type="checkbox"/> | No <input type="checkbox"/> |

- B. Does applicant or a related person suggest brokers to clients? Yes No

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

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

13. Additional Compensation.

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

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

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|--|---------------------------------------|---------------------------|
| Applicant: Haisman Wealth Management, Inc. | SEC File Number: 801- 55611 | Date: 1-30-2009 |
|--|---------------------------------------|---------------------------|

| | |
|---|---|
| 1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Haisman Wealth Management, Inc. | IRS Empl. Ident.No.: 65-0835433 |
|---|---|

| Item of Form (identify) | Answer |
|----------------------------|---|
| Item 1.D. | <p>ADVISORY SERVICES AND FEES Haisman Wealth Management, Inc. (hereinafter, "HWM" or "the Firm") offers personalized investment advisory services to individuals, banks or thrift institutions, pension and profit sharing plans, trusts, estates, charitable organizations, corporations, and other business entities. HWM's services and fee arrangement are described in the following pages.</p> <p>HWM is a corporation formed under the laws of the State of Florida. This Schedule F narrative provides Clients with information regarding HWM and the qualifications, business practices, and nature of advisory services that should be considered before becoming an advisory Client of HWM.</p> <p>Please contact Catherine Jackson, Chief Compliance Officer, if you have any questions about this Schedule F narrative. Additional information about HWM 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 108640.</p> <p>Individuals associated with HWM will provide its investment advisory services. These individuals are appropriately licensed, qualified, and authorized to provide advisory services on behalf of HWM. Such individuals are known as Investment Adviser Representatives (IARs).</p> <p>CAPITAL ALLOCATION SERVICE As part of its Capital Allocation Service, HWM offers an Investment Plan, which is a written proposal that addresses specific areas of the Client's interest or concern regarding their financial resources, depending on each Client's unique circumstances and serves as a guide for asset allocation. The Firm offers an initial complimentary consultation in which pertinent information about the Client's personal and financial circumstances and objectives is collected, and the scope of the engagement is determined.</p> <p>The fee for the written Investment Plan is up to \$400 per hour, subject to negotiation. An estimate of the total cost will be determined at the start of the advisory relationship. In limited circumstances the cost/time could potentially exceed the initial estimate. In such cases, the Firm will notify the Client and may request that the Client approve the additional fee. An upfront fee of 50 percent is charged with the remainder due and payable upon completion of the services rendered.</p> <p>Clients participating in HWM's portfolio management services are encouraged to purchase an Investment Plan from HWM. In the Firm's sole discretion, the Firm may waive all, or a portion, of the fee for the Investment Plan if the Client implements the plan through the Firm's portfolio management services. Investment Plans will also be offered to Clients not participating in the Firm's portfolio management services.</p> <p>Investment Plans are based on the Client's financial situation at the time the plan is presented. Clients are advised that certain assumptions may be made with respect to interest and inflation rates, as well as past trends, historical market performance, and the economy. Past performance is in no way an indication of future results. HWM cannot offer any guarantees or promises that the Client's financial goals and objectives will be met. As the Client's financial situation, goals, objectives, or needs change, the Client must promptly notify HWM.</p> |

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

**Schedule F of
Form ADV**

Continuation Sheet for Form ADV Part II

| | | |
|--|---------------------------------------|---------------------------|
| Applicant: Haisman Wealth Management, Inc. | SEC File Number: 801- 55611 | Date: 1-30-2009 |
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| | |
|---|---|
| 1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Haisman Wealth Management, Inc. | IRS Empl. Ident.No.: 65-0835433 |
|---|---|

| Item of Form (identify) | Answer |
|----------------------------|--------|
|----------------------------|--------|

| <p>Item 1.D. (Continued)</p> | <p><i>Portfolio Management Services</i> HWM provides discretionary portfolio management services through its Capital Allocation Services, where the investment advice provided is custom tailored to meet the needs and investment objectives of the Client. Clients are provided with management and monitoring of a diversified portfolio of mutual funds, variable annuities, ETF's and similar investments. In addition, as described more fully below, HWM may also refer clients to unaffiliated sub-advisers to manage a portion of, or their entire account. Client assets are custodied at TD Ameritrade Inc. ("TD Ameritrade"), member FINRA/SIPC. Subject to any written guidelines that the Client may provide, HWM will be granted discretion and authority to manage the account. Accordingly, HWM is authorized to perform various functions, at the Client's expense, without further approval from the Client. Such functions include the determination of securities to be purchased/sold, the amount of securities to be purchased/sold, the custodian to be used, and the commission rates to be paid. Once the portfolio is constructed, HWM provides rebalancing of the portfolio as changes in market conditions and Client circumstances may require.</p> <p>The annual fee for portfolio management services is billed quarterly in arrears based on the asset value on the last day of the quarter. Fees will be assessed pro rata in the event the portfolio management agreement is executed at any time other than the first day of a calendar month. The payment of fees for portfolio management services will be made via a direct debit by the qualified and independent custodian holding the Clients' funds and securities. On an annualized basis, HWM's fees for portfolio management services, subject to negotiation, are based on the following fee schedule:</p> <table style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th style="text-align: center;"><u>Assets Under Management</u></th> <th style="text-align: center;"><u>Annualized Fee</u></th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">Under \$500,000</td> <td style="text-align: center;">1.75%</td> </tr> <tr> <td style="text-align: center;">\$500,00 to \$1,000,000</td> <td style="text-align: center;">1.25%</td> </tr> <tr> <td style="text-align: center;">\$1,000,00 to \$2,000,000</td> <td style="text-align: center;">1.00%</td> </tr> <tr> <td style="text-align: center;">\$2,000,00 to \$4,000,000</td> <td style="text-align: center;">0.90%</td> </tr> <tr> <td style="text-align: center;">\$4,000,000 to \$10,000,000</td> <td style="text-align: center;">0.75%</td> </tr> <tr> <td style="text-align: center;">Over \$10,000,000</td> <td style="text-align: center;">Negotiable</td> </tr> </tbody> </table> <p>Accounts will be charged a one-time set-up fee per account of up to \$500. This fee will be charged based on 'start-up' expenses related to establishing the new account, and this portion of the fee is non-refundable.</p> <p>In extraordinary circumstances, the Firm reserves the right to charge fees in addition to the management fee set forth above. Such fees will be based on an hourly rate of up to \$400 per hour or increased management fee, subject to negotiation.</p> <p>Payment of HWM's management fees will be made by the qualified custodian holding the Client's funds and securities provided the Client supplies written authorization permitting the fees to be paid directly from the account. HWM will not have access to Client funds for payment of fees without written consent by the Client. Further, the qualified custodian agrees to deliver an account statement, at least quarterly, directly to the Client, showing all disbursements from the account. The Client is encouraged to review all account statements for accuracy. HWM will receive a duplicate copy of the statement delivered to the Client.</p> <p>At HWM's discretion, the Firm may allow accounts of members of the same household to be aggregated for purposes of determining the advisory fee; For example HWM may allow</p> | <u>Assets Under Management</u> | <u>Annualized Fee</u> | Under \$500,000 | 1.75% | \$500,00 to \$1,000,000 | 1.25% | \$1,000,00 to \$2,000,000 | 1.00% | \$2,000,00 to \$4,000,000 | 0.90% | \$4,000,000 to \$10,000,000 | 0.75% | Over \$10,000,000 | Negotiable |
|---|--|--------------------------------|-----------------------|-----------------|-------|-------------------------|-------|---------------------------|-------|---------------------------|-------|-----------------------------|-------|-------------------|------------|
| <u>Assets Under Management</u> | <u>Annualized Fee</u> | | | | | | | | | | | | | | |
| Under \$500,000 | 1.75% | | | | | | | | | | | | | | |
| \$500,00 to \$1,000,000 | 1.25% | | | | | | | | | | | | | | |
| \$1,000,00 to \$2,000,000 | 1.00% | | | | | | | | | | | | | | |
| \$2,000,00 to \$4,000,000 | 0.90% | | | | | | | | | | | | | | |
| \$4,000,000 to \$10,000,000 | 0.75% | | | | | | | | | | | | | | |
| Over \$10,000,000 | Negotiable | | | | | | | | | | | | | | |

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

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| 1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Haisman Wealth Management, Inc. | IRS Empl. Ident.No.: 65-0835433 |
|---|---|

| Item of Form (identify) | Answer |
|----------------------------|---|
| Item 1.D. (Continued) | <p>such aggregation where the Firm services accounts on behalf of minor children of current Clients, individual and joint accounts for a spouse, and other types of related accounts. This consolidation practice is designed to allow Clients the benefit of an increased asset total, which could potentially result in the account(s) to be assessed a reduced advisory fee based on the breakpoints available in the Firm's above referenced fee schedule.</p> <p>The Client may terminate the portfolio management agreement within seven days of the date of its execution without penalty to the Client. After the seven-day period, either party may terminate the portfolio management agreement upon 30 days written notice to the other party. The management fee will be pro-rated for the quarter in which the cancellation notice was given, inclusive of the 30-day notice period.</p> <p>BUY AND HOLD SERVICE HWM offers a Buy & Hold service whereby advice is only provided regarding the initial selection of securities; and management is not continuous. Buy & Hold services are performed pursuant to the Client's request. As such, HWM has no proactive obligation to monitor the client's account for suitability of investments, rebalancing or otherwise. In its discretion, the Firm customarily charges a quarterly reporting service and/or clerical service fee of 0.25% per account, per year, payable annually in arrears.</p> <p>The Firm reserves the right to charge a late fee of 1% per month on the balance of fees due if payment is not received within 60 days of the end of each calendar quarter.</p> <p>SELECTION OF THIRD PARTY ADVISERS HWM may recommend that Clients utilize the services of a third party investment adviser ("TPA") to manage a portion of or their entire portfolio. Recommended TPAs must be registered as investment advisers with either the Securities and Exchange Commission or with appropriate state authorities.</p> <p>After gathering information regarding the Client's financial situation and objectives, an IAR of HWM 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), HWM will monitor the performance of the TPA(s) to ensure that their performance and investment style remains aligned with the investment goals and objectives of the Client.</p> <p>The TPA will actively manage the client's equity portfolio and may assume investment discretionary and trading authority over the managed account. HWM will not manage or obtain investment discretion or trading authority over the assets in any client's managed account. However, HWM will assume discretionary authority to hire and fire TPAs and reallocate the client's assets to other TPAs, where such action is deemed to be in the best interest of the client.</p> <p>HWM 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..</p> <p>Fees paid by the Client to the TPA are established and payable in accordance with the Form</p> |

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

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| | | |
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| 1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Haisman Wealth Management, Inc. | IRS Empl. Ident.No.: 65-0835433 |
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| Item of Form (identify) | Answer |
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| Item 1.D. (Continued) | <p>ADV Part II or other equivalent disclosure document provided by each TPA to which the Client is referred and these fees may or may not be negotiable. Such compensation may differ depending upon the individual agreement HWM has with each TPA. As such, HWM or its IARs may have an incentive to recommend one TPA over another TPA with which it has less favorable compensation arrangements or other advisory programs offered by TPAs with which it has no compensation arrangements.</p> <p>Clients may be required to sign an agreement directly with the TPA(s). In accordance with the provisions of those agreements, the Client, the Firm or the TPA may terminate 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>General Information on Advisory Services and Fees 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>HWM does 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 HWM will usually involve investment in mutual funds, variable annuities, master limited partnerships, closed end funds and ETF's. Clients are hereby advised that all fees paid to HWM for investment advisory services are separate and distinct from the fees and expenses charged by each security as 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 when purchasing or selling securities. HWM does 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 all securities, HWM, and others to fully understand the total amount of fees to be paid by the Client.</p> |
| Item 3.K.(3). | <p>TYPES OF INVESTMENTS IARs of the Firm may provide advice on the advisability of purchasing limited partnerships and REITs. In addition, the principals may review existing limited partnership or REIT investments owned by the Client for purposes of developing an appropriate financial plan or asset allocation strategy.</p> |
| Item 3.L. | <p>The Firm will review the services provided by the approved third-party investment adviser prior to offering the advisers services to Clients. The Firm will aid Clients in the selection of the appropriate third-party investment adviser. The Firm does not provide advice relative to any investment managed by the third-party investment adviser.</p> <p>The Firm 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. The Firm 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 for which the Client requests advice.</p> |

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

**Schedule F of
Form ADV**

Continuation Sheet for Form ADV Part II

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| Applicant: Haisman Wealth Management, Inc. | SEC File Number: 801- 55611 | Date: 1-30-2009 |
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| 1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Haisman Wealth Management, Inc. | IRS Empl. Ident.No.: 65-0835433 |
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| Item of Form (identify) | Answer |
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| Item 4.B.(8). | <p>SOURCES OF INFORMATION, AND INVESTMENT STRATEGIES The Firm utilizes other sources of information such as Morningstar, TD Ameritrade Institutional and Dorsey Wright and Associates.</p> <p>Although very infrequently, the Firm may trade on margin for Clients' accounts, which could result in a high portfolio turnover ratio. Furthermore, there are inherent risks associated with margin transactions and conflicts of interest, which may arise from such style of management. If margin transactions are used, they are usually implemented by a mutual fund that incorporates margin trading as part or all of its strategy. The Firm may buy for clients' accounts securities that short a market or hedge a long position.</p> <p>EDUCATION AND BUSINESS BACKGROUND The Firm requires a college degree or equivalent, and experience in the investment/financial planning area for its non-clerical employees. Although not required, all employees are encouraged to obtain CERTIFIED FINANCIAL PLANNER™ certification or the REGISTERED PARAPLANNER_{SM}.</p> <p>EDUCATION AND BUSINESS BACKGROUND Donald Leo Haisman <i>Year of Birth:</i> 1944 <i>Formal Education After High School:</i></p> <ul style="list-style-type: none"> ▪ Eastern Michigan University, M.B.A., Finance, 1971. ▪ University of Detroit, B.M.E., Mechanical Engineering, 1968. <p><i>Business Background Preceding Five Years:</i></p> <ul style="list-style-type: none"> ▪ Haisman Wealth Management, Inc., President/Shareholder, 12/2004 – Present. ▪ Haisman Investment Advisors, Inc., President/Shareholder, 04/1998 – 12/2004. ▪ Securities Service Network, Inc., Registered Representative, 10/1989 – 12/2008. ▪ Donald L. Haisman d/b/a Donald L. Haisman, CFP, Owner/Self-Employed, 10/1975 – Present. <p>Catherine M. Jackson <i>Year of Birth:</i> 1950 <i>Formal Education After High School:</i></p> <ul style="list-style-type: none"> ▪ New York University Graduate School of Business Administration, M.B.A., Finance, 1979. ▪ Brooklyn College, City University of New York, B.S., Accounting, 1974. <p><i>Business Background Preceding Five Years:</i></p> <ul style="list-style-type: none"> ▪ Haisman Wealth Management, Inc. Director of Research and Investments, 7/2008 – Present. ▪ Merrill Lynch Pierce Fenner & Smith, Financial Advisor, 6/2007-7/2008 ▪ International Alternative Associates, LLC , Managing Member, 8/2005-6/2007 ▪ Global Asset Alternatives, LLC, Managing Director, 8/2002-6/2005 <p>OTHER BUSINESS ACTIVITIES IARs of the Firm may refer clients to other professional business contacts such as attorneys, accountants, insurance agents, retirement plan administrators, etc. If a product (such as insurance) is sold, the IAR may share in customary commissions. Compensation received from any other professional business contact is separate and distinct from applicable advisory fees and clients are advised that they are under no</p> |
| Item 4.C.(7). | |
| Item 5. | |
| Item 6. | |
| Item 7.C. | |

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**Schedule F of
Form ADV**

Continuation Sheet for Form ADV Part II

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| Applicant: | SEC File Number: | Date: |
| Haisman Wealth Management, Inc. | 801- 55611 | 1-30-2009 |

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| 1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Haisman Wealth Management, Inc. | IRS Empl. Ident.No.: 65-0835433 |
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| Item 9.E. (Continued) | <p>redeemed at a fixed net asset value price per share specific to the date of purchase or redemption. As such, transactions in mutual funds by Advisory Representatives are not likely to have an impact on the prices of the fund shares in which Clients invest.</p> <p>In accordance with Section 204-A of the Investment Advisers Act of 1940, HWM also maintains and enforces written policies reasonably designed to prevent the misuse of material non-public information by HWM by or any person associated with HWM.</p> <p>Privacy Policies The Firm views protecting its Clients' private information as a top priority. 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 Clients or former Clients 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, broker-dealers, accountants, and lawyers.</p> <p>The Firm restricts internal access to nonpublic personal information about the Client to those employees who need access to 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's policy to never sell information about current or former customers or their accounts to anyone. It is also the Firm's policy to not share information unless required to process a transaction, at the request of a customer, or as required by law.</p> |
| Item 10. | <p>A copy of the Firm's privacy policy notice will be provided to each Client prior to, or contemporaneously with, the execution of the advisory agreement. Thereafter, HWM will deliver a copy of the current privacy policy notice to its Clients annually.</p> |
| Item 11.A. | <p>CONDITIONS FOR MANAGING ACCOUNTS The Firm requires a minimum investment of \$1,000,000 per household to participate in the Capital Allocation Services program. A household consists of the Client, the Client's spouse, and any dependant children. HWM, in its sole discretion, may waive or reduce the minimum investment or fee requirement. As disclosed at Item 1D of this Schedule F, managed accounts may require a set-up fee of up to \$500 per account. Additionally, third-party investment advisers, for which the Firm solicits Clients, may require or suggest certain minimum investment amounts to open and maintain an account.</p> |
| Item 11.B. | <p>REVIEW OF ACCOUNTS Donald Leo Haisman reviews accounts on a regular and continuous basis. A formal review of each account is conducted on a semi-annual basis. Reviews consist of a review of the Client's objectives and current investments with a notation of any changes in the Client's needs. Industry standard benchmarks are used as guidelines for determining the relative success of each portfolio's objective.</p> <p>REPORTS TO CLIENTS Investment accounts receive account statements from their custodian(s), mutual fund(s), and insurance companies. For advisory accounts, Clients are kept informed as to the status and transactions in their accounts with the following written information:</p> <ol style="list-style-type: none"> 1. Reports from the Firm on each account at least semi-annually. 2. The Client is mailed a confirmation notice from the custodian after each account transaction allowing personal daily account recordkeeping. |

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**Schedule F of
Form ADV**

Continuation Sheet for Form ADV Part II

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| Applicant: Haisman Wealth Management, Inc. | SEC File Number: 801- 55611 | Date: 1-30-2009 |
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| 1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Haisman Wealth Management, Inc. | IRS Empl. Ident.No.: 65-0835433 |
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| Item 12.A. (1),(2),(3),(4) | <p>3. The Client receives regular account statements at least quarterly from the custodian showing all transactions and account positions.</p> <p>INVESTMENT OR BROKERAGE DISCRETION Generally, Clients grant HWM discretion over the selection and amount of securities to be bought or sold, the broker/dealer to be used and the commission rates to be paid 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. Clients may amend these limitations as required. Such amendments must be submitted in writing.</p> <p>SUGGESTION OF A CUSTODIAN HWM will recommend that a Client in need of brokerage services utilize TD Ameritrade Institutional, among others. HWM 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. HWM receives some benefits from TD Ameritrade through its participation in the program. (Please see the disclosure under Item 13.A. below.)</p> <p>In selecting a broker/dealer based on discretionary authority or in suggesting a broker/dealer on behalf of a non-discretionary account, the Firm 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, and other services.</p> <p>HWM does not obligate itself to seek the lowest transaction charges in all cases except to the extent that it contributes to the overall goal of obtaining the best results for clients. It is expected that HWM may receive some economic benefits, for example, research and access to investment consultants, from brokers in connection with utilizing their brokerage services.</p> <p>ADDITIONAL COMPENSATION IARs of the Firm holding a state insurance license may share in commissions as a result of insurance sales by insurance agents referred by IARs.</p> <p>As disclosed under Item 12.B. above, HWM participates in TD Ameritrade's institutional customer program and HWM may recommend TD Ameritrade to Clients for custody and brokerage services. There is no direct link between HWM's participation in the program and the investment advice it gives to its Clients, although HWM 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 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</p> |
| Item 12.B. | |
| Item 13.A. | |

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**Schedule F of
Form ADV**

Continuation Sheet for Form ADV Part II

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| Haisman Wealth Management, Inc. | 801- 55611 | 1-30-2009 |

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| 1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Haisman Wealth Management, Inc. | | IRS Empl. Ident.No.: 65-0835433 |
| Item of Form (identify) | Answer | |
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