Firm Brochure
(Part 2A of Form ADV)

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This brochure provides information about the qualifications and business practices of Fountain Strategies, LLC. If you have any questions about the contents of this brochure, please contact us at: 831-298-7036, or by email at: EMAIL. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission, or by any state securities authority. Registration does not imply a certain level of skill or training.

Additional information about Fountain Strategies, LLC is also available on the SEC's website at www.adviserinfo.sec.gov. The searchable IARD/CRD number for Fountain Strategies, LLC is 142890.

DATE
March 30, 2011

Item 2: Summary of Material Changes

Annual Update

The Material Changes section of this brochure will be updated annually when material changes occur since the previous release of the Firm Brochure and whenever there is a material change

Material Changes since the Last Update

1. Initial Filing on [Day after 12/31/10]:

    a. This is our "initial" filing of what we regard as "The New Part 2" of our Form ADV. As a result, this Document, dated [New Part 2 date] is brand new. This document was developed in response to new requirements adopted and imposed by the Securities and Exchange Commission (SEC) under the Investment Advisers Act of 1940 (IA Act). As a result, this Disclosure Brochure is substantially different from previous versions and includes disclosures not specifically required by the Old Part II.

    b. As a result, this "Brochure" should be considered "materially new" although you will recognize most of the disclosures as similar or identical to what you have read in the past.

2. In future filings, this section of the Brochure will address only those "material changes" that have been incorporated since our last delivery or posting of this document on the SEC's public disclosure website (IAPD) www.adviserinfo.sec.gov.

3. We may, at any time, update this Brochure and either send you a copy or offer to send you a copy (either by electronic means (email) or in hard copy form).

Full Brochure Available

Whenever you would like to receive a complete copy of our Firm Brochure, please contact us by telephone at: (831)298-7036 or by email at answers@fountainstrategiesllc.com .

Within 120 days of our fiscal year end we will deliver our annual Summary of Material Changes if there have been material changes since the last annual updating amendment.

Item 3: Table of Contents

Item 4: Advisory Business

Firm Description

Fountain Strategies, LLC is a fee-only financial planning and investment management firm established 18 December 2006 in the State of California. Principal owner of Fountain Strategies, LLC is Douglas M. Pease, as sole member of the limited liability company.

Services

Fountain advisors offer comprehensive financial planning in life-long relationships with clients, and investment management advice stemming from buy-and-hold strategies built upon Modern Portfolio Theory principles. Financial planning covers and keeps current all six phases of one's financial life: goals, cash flow control, wealth accumulation, risk management, retirement, and estate transfer. Investment management relies upon diversification among no-load, index-fund-like, asset-class-specific Dimensional Funds.

We are strictly a fee-only financial planning and investment management firm. The firm does not sell annuities, insurance, stocks, bonds, mutual funds, limited partnerships, or other commissioned products.

The firm is not affiliated with entities that sell financial products or securities. No commissions in any form are accepted. No finder's fees are accepted.

Investment advice is an integral part of financial planning. In addition, we advise clients regarding cash flow, college planning, retirement planning, tax planning and estate planning.

Investment advice is provided on a non-discretionary basis, with you making the final decision on investment selection. We do not act as a custodian of your assets. You always maintain asset control. We places trades for you upon receipt of your written instructions under a limited power of attorney.

Upon becoming a client you will have continuing access to and editing capability of your own on-line financial planning document thanks to Fountain's license with MoneyGuidePro™. Both you and your Fountain advisor can amend the plan data as your situation changes. Periodic reviews, both on your part and ours, can refer to your on-line plan and the indicated course of action you might need to take from time to time.

Other professionals (e.g., lawyers, accountants, insurance agents, etc.) are engaged directly by you on an as-needed basis. Conflicts of interest will be disclosed to you in the unlikely event they should occur.

Initial data-gathering uses the PreciseFP™ online confidential questionnaire. The completed questionnaire transfers your data to your MoneyGuidePro™ account so you and your Fountain advisor can determine the extent to which financial planning and investment management may be beneficial to you.

Assets Under Management

As of December 31, 2010, we manage approximately $21,471,000 in assets for 40 clients on a non-discretionary basis.

Tailored Relationships

Client portfolios are balanced between equity and fixed income assets commensurate with each client's personal tolerance for market risk. Each client portfolio reflects the time horizon indicated for fulfillment of the financial plan it supports. While clients may request other certain publicly traded stocks or mutual funds, Fountain's seven portfolio models employ Dimensional Funds for several good reasons that include lower cost, adherence to asset class parameters, long statistical performance backgrounds, and impressive analysis reporting capabilities.

Financial planning goals are clearly documented in each client's MoneyGuidePro™ account. Investment goals and market risk assessment for each client are documented both in the MoneyGuidePro™ account and in a Fountain Investment Policy Statement signed by the client and his or her Fountain advisor.

Agreements may not be assigned without your consent.

Type of Agreement

The following defines the typical client relationship.

Retainer Agreement

A financial plan is designed to help you with all aspects of financial planning without ongoing investment management after the financial plan is completed.

The financial plan may include, but is not limited to: a net worth statement; a cash flow statement; a review of investment accounts, including reviewing asset allocation and providing repositioning recommendations; strategic tax planning; a review of retirement accounts and plans including recommendations; a review of insurance policies and recommendations for changes, if necessary; one or more retirement scenarios; estate planning review and recommendations; and education planning with funding recommendations.

Detailed investment advice and specific recommendations are provided as part of a financial plan. Implementation of the recommendations is at your discretion.

Assets are invested primarily in no-load or low-load mutual funds and exchange-traded funds, usually through discount brokers or fund companies. Fund companies charge each fund shareholder an investment management fee that is disclosed in the fund prospectus. Discount brokerages may charge a transaction fee for the purchase of some funds.

Stocks and bonds may be purchased or sold through a brokerage account when appropriate. The brokerage firm charges a fee for stock and bond trades. We do not receive any compensation, in any form, from fund companies.

Investments may include equities (stocks), warrants, corporate debt securities, commercial paper, certificates of deposit, municipal securities, U.S. government securities, options contracts, futures contracts, investment company securities and interests in partnerships, but these assets in most cases will be incorporated into selected mutual fund holdings.

We generally do not allow you to impose restrictions on investing in certain securities.

We do not invest in wrap fee programs or manage assets for any wrap fee accounts.

We do not invest in Initial public offerings (IPOs).

Termination of Agreement

You may terminate our agreement at any time by notifying us in writing. If you made an advance payment, we will refund any unearned portion of the advance payment.

Item 5: Fees and Compensation

Description

We sell our time and experience; we do not sell insurance or investment products or a subscription. There is no hourly fee because our annual retainer covers all the attention a client's situation demands, year by year. We charge a one-time, nonrefundable set-up fee of $500. When you decide we can provide the working relationship you seek, we seek an annual fixed retainer fee of $3,000 to $10,000, payable quarterly in arrears and paid from a client's managed investment accounts. The specific amount of the retainer fee depends upon the complexities anticipated, is mutually agreeable to both IAR and the client, and reflects but may not follow precisely the value of assets under management. Although Fountain believes its advisory fees are competitive, lower fees for similar services may be available at other firms and practitioners.

The only other fee a client will incur in his relationship with Fountain is the transaction fee on each trade placed with the custodial broker.

Fee Billing

Investment management fees are billed quarterly, in arrears, meaning that we invoice you the week before the three-month billing period has ended. Fees are deducted directly from an investment account designated by you to facilitate billing. You must consent in advance to direct debiting of your investment account, and such consent takes the form of Fountain's Client Retainer Fee Agreement signed by you and your Fountain advisor.

Other Fees

Custodians may charge transaction fees on purchases or sales of certain mutual funds and exchange-traded funds. These transaction charges are usually small and incidental to the purchase or sale of a security. The selection of the security is more important than the nominal fee that the custodian charges to buy or sell the security.

Expense Ratios

Mutual funds generally charge a management fee for their services as investment managers. The management fee is called an expense ratio. For example, an expense ratio of 0.50 means that the mutual fund company charges 0.5% for their services. These fees are in addition to the fees paid by you to us.

Performance figures quoted by mutual fund companies in various publications are after their fees have been deducted.

Item 6: Performance-Based Fees

Sharing of Capital Gains

Fees are not based on a share of the capital gains or capital appreciation of managed securities.

We do not use a performance-based fee structure because of the potential conflict of interest. Performance-based compensation may create an incentive for the adviser to recommend an investment that may carry a higher degree of risk to you.

Item 7: Types of Clients

Description

We generally provide investment advice to individuals, pension and profit sharing plans, trusts, estates, or charitable organizations, corporations or business entities.

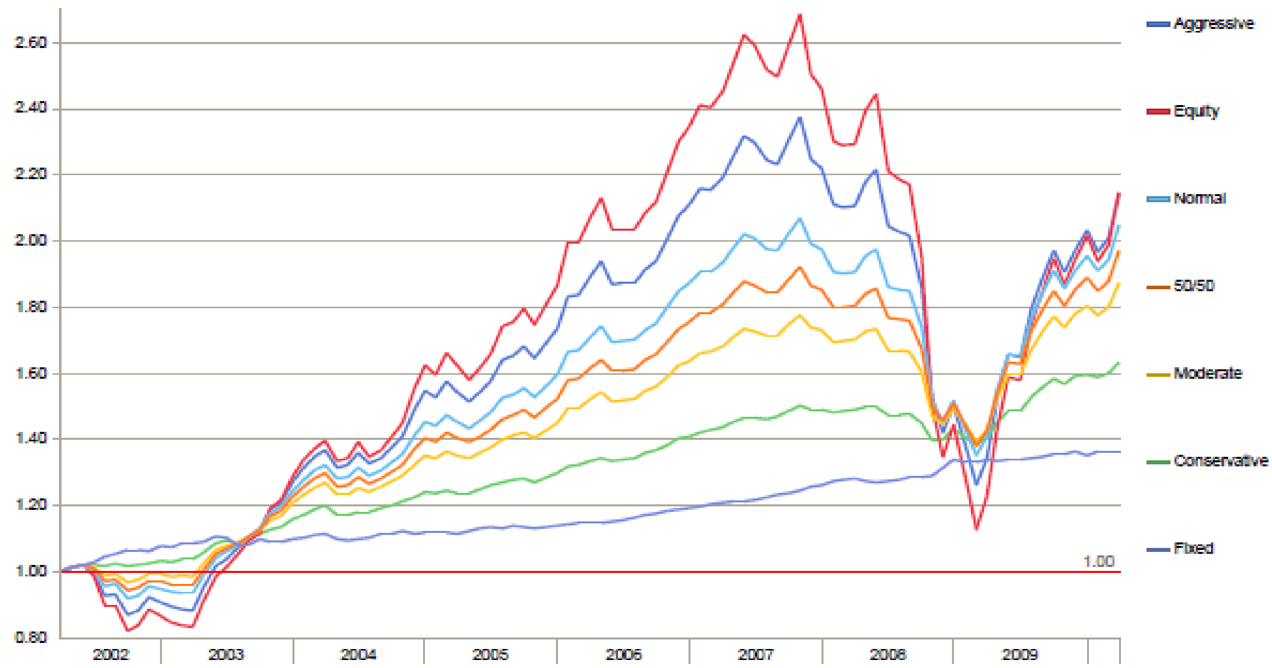
Client relationships vary in scope and length of service but it is Fountain's intent to provide excellent advice and services to warrant long-lasting relationships

Item 8: Methods of Analysis, Investment Strategies and Risk of Loss

Methods of Analysis

We focus on the “risk” aspect of the risk-return equation, and we strive to match a client’s risk threshold to the level of volatility (as measured by its Standard Deviation) in his portfolio. Then we want our clients to enjoy whatever advantages are inherent in diversifying investments among a dozen to sixteen asset classes. Our analysis, then, focuses on correlations between various asset classes, and how the volatility of individual asset classes will affect the portfolio as a whole. In most cases we use no-load, index-like, asset class-specific mutual funds offered by Dimension Funds, for which there are several years of risk and return performance statistics readily available.

Past performance is not guarantee of future results, but it does help gauge relative future performance possibilities. Dimensional Funds can provide serious performance histories for individual asset classes and the individual funds that represent individual asset classes. These histories allow Fountain advisors to include the concept of investment risk as equally important as appreciation to the long term performance of a portfolio, and all investment discussions with clients start with an assessment of that client's risk tolerance. These histories show that the risk of loss can be ameliorated by accepting longer term commitments to holding a diversified portfolio containing multiple asset classes. These histories allow Fountain advisors to match an appropriate portfolio model to each client's willingness to accept market risk. The following illustration represents actual performance of these Fountain models across a period that includes two significant market declines.



"Market Average" is important to those who subscribe to Modern Portfolio Theory, for it leads to the assumption that in the longer term an investor cannot beat the market. Fountain advisors accept that assumption to the extent that they do not try to pick winning stocks and instead try to adapt overall market performance into resource projections in fulfillment of a client's financial plan. Overall market risk can be balanced to some extent by varying the amount of fixed income assets in a portfolio and to some extent by accepting longer holding periods in the plan design. As market changes affect portfolio assets by plus or minus 3%, Fountain advisors suggest a "re-balancing" of individual assets to their original plan percentage targets in the portfolio construction. Such rebalancing supports, albeit in a modest way, the injunction to "buy low and sell high."

Investment Strategies

We do not attempt to beat the market, but rather to incorporate those returns one might anticipate at a level of market risk appropriate to each client’s portfolio. We rely upon diversification and asset allocation as investment strategies, and we are attentive to rebalancing among assets of various classes in the portfolio as they drift beyond plus-or-minus 3% from their target percentages in changing markets.

Risk of Loss

All investment programs have certain risks that are borne by the investor. Our investment approach constantly keeps the risk of loss in mind.

Investors face the following investment risks:

Interest-rate Risk: Fluctuations in interest rates may cause investment prices to fluctuate. For example, when interest rates rise, yields on existing bonds become less attractive, causing their market values to decline.

Market Risk: The price of a security, bond, or mutual fund may drop in reaction to tangible and intangible events and conditions. This type of risk is caused by external factors independent of a security's particular underlying circumstances. For example, political, economic and social conditions may trigger market events.

Inflation Risk: When any type of inflation is present, a dollar today will not buy as much as a dollar next year, because purchasing power is eroding at the rate of inflation.

Currency Risk: Overseas investments are subject to fluctuations in the value of the dollar against the currency of the investment's originating country. This is also referred to as exchange rate risk.

Reinvestment Risk: This is the risk that future proceeds from investments may have to be reinvested at a potentially lower rate of return (i.e. interest rate). This primarily relates to fixed income securities.

Business Risk: These risks are associated with a particular industry or a particular company within an industry. For example, oil-drilling companies depend on finding oil and then refining it, a lengthy process, before they can generate a profit. They carry a higher risk of profitability than an electric company, which generates its income from a steady stream of customers who buy electricity no matter what the economic environment is like.

Liquidity Risk: Liquidity is the ability to readily convert an investment into cash. Generally, assets are more liquid if many traders are interested in a standardized product. For example, Treasury Bills are highly liquid, while real estate properties are not.

Financial Risk: Excessive borrowing to finance a business' operations increases the risk of profitability, because the company must meet the terms of its obligations in good times and bad. During periods of financial stress, the inability to meet loan obligations may result in bankruptcy and/or a declining market value.

Item 9: Disciplinary Information

Legal and Disciplinary

The firm and its employees have not been involved in legal or disciplinary events related to past or present investment clients.

Item 10: Other Financial Industry Activities and Affiliations

Financial Industry Activities

We are not involved in any other financial industry activities.

Affiliations

We have no arrangements that are material to our advisory business or our clients with any other entity.

Item 11: Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

Code of Ethics

We have adopted a Code of Ethics. The Code sets forth the expectations of our firm as respects standards of conduct, fiduciary duties, required compliance with all securities regulations, required reporting of personal trading, pre-approval of participation in any initial public offering or private placement, required reporting of violations of the Code to the Chief Compliance Officer, and required written acknowledgement of receipt of the Code by personnel. A copy of the Code of Ethics is available to you and prospects upon request.

Participation or Interest in Client Transactions

Our Investment Advisor Representatives (IAR's) are paid for their advice and experience, not by or for the investments they might recommend to clients. While we and its IAR's can buy or sell for company and personal accounts the same assets they might recommend to you, conflicts of interest are not an issue we address beyond the injunction to, "Put the clients' interests first." We have distanced ourselves by policy and by practice from any opportunity beyond our quarterly billing process, for taking any action that might be deemed a discretionary event in our client relationships. The billing process is governed by terms set forth in our Client Retainer Agreement, and our Investment Policy Statement allows trading in a client account only upon the documented request of a client.

Personal Trading

The Chief Compliance Officer is Douglas M. Pease. The IARs are affiliates of Fountain but are not employees of Fountain. As compliance officer he monitors all trades, including those made by Fountain advisors

Item 12: Brokerage Practices

Selecting Brokerage Firms

We do not have any affiliation with product sales firms. Specific custodian recommendations are made to you based on your need for such services. We recommend custodians based on the proven integrity and financial responsibility of the firm and the best execution of orders at reasonable commission rates.

We recommend discount brokerage firms and trust companies (qualified custodians), such as Fidelity.

We do not receive fees or commissions from any of these arrangements.

Best Execution

Trades are generally executed for a flat fee and are competitive with those charged by other custodians. Fountain holds a reasonable belief that Fidelity Investments as custodian broker offers best execution and competitive prices, in light of the fact that Fidelity is one of only a few custodian firms that enjoys a working relationship with Dimensional Funds.

Soft Dollars

We do not receive any soft dollar benefits from any custodian.

Order Aggregation

Most trades are in mutual funds and trades and are aggregated to meet DFA requirements.

Trade Errors

From time-to-time we may make an error in submitting a trade order on your behalf. When this occurs, we may place a correcting trade with the broker-dealer which has custody of your account. If an investment gain results from the correcting trade, the gain will remain in your account unless the same error involved other client account(s) that should have received the gain, it is not permissible for you to retain the gain, or we confer with you and you decide to forego the gain (e.g., due to tax reasons). Generally, if related trade errors result in both gains and losses in your account, they may be netted.

Item 13: Review of Accounts

Periodic Reviews

Fountain IAR's review their client accounts and financial plan at least quarterly. Such reviews may amount to updating account data in MoneyGuidePro and reviewing quarterly postings to BridgePortfolio, and both displays are available to clients at any time. Where such reviews signal a need for action, the IAR reports to the client involved by email or by regular mail.

Review Triggers

Other conditions that may trigger a review are changes in the tax laws, new investment information, and changes in your own situation.

Regular Reports

For all Fountain supervisory accounts, clients receive standard statements from the custodian broker, either electronically or by regular mail. In addition, clients can access at any time their account data, including current values, transaction history, archived statements, and tax documents, directly from the custodian broker website, or MoneyGuidePro and BridgePortfolio.

Item 14: Client Referrals and Other Compensation

Incoming Referrals

We have been fortunate to receive many client referrals over the years. The referrals came from current clients, estate planning attorneys, accountants, and other similar sources. The firm does not compensate referring parties for these referrals.

Referrals Out

We do not accept referral fees or any form of remuneration from other professionals when a prospect or client is referred to them.

Other Compensation

We do not receive any commissions or referral fees for any recommendations we make to other professionals.

Item 15: Custody

Account Statements

All assets are held at qualified custodians, which means the custodians provide account statements directly to you at your address of record at least quarterly.

Performance Reports

Clients are urged to compare the account statements received directly from their custodians to the performance report statements provided by us.

Net Worth Statements

Clients can access net worth statements and graphs at any time in their individual online MoneyGuidePro™ accounts. The act of opening this online account includes up-dating current portfolio values of those assets Fountain advisors monitor via BridgePortolio®. MoneyGuidePro™ net worth statements contain approximations of bank account balances and the value of land and hard-to-price real estate, but those items can be up-dated directly by clients when greater precision is desired. These online net worth statements are used for long-term financial planning where the exact values of assets are not material to the financial planning tasks.

Item 16: Investment Discretion

Discretionary Authority for Trading

We do not claim discretion to choose the broker/dealer or commission rates to be paid; clients direct the use of a particular broker/dealer in the Client Retainer Agreement. While we generally request that you direct us to custody your accounts at and to place trades through Fidelity Investments, clients can and do choose other firms for these services. We hold a reasonable belief that the firms it deals with offer best execution and competitive prices, and requires a working relationship between the broker/custodians it deals with and Dimension Funds.

Limited Power of Attorney

A limited power of attorney is a trading authorization for this purpose. You sign a limited power of attorney so that we may execute the trades that you have approved.

Item 17: Voting Client Securities

Proxy Votes

We do not vote proxies. Therefore, although we may provide investment advisory services relative to your investment assets, you maintain exclusive responsibility for: (1) directing the manner in which proxies solicited by issuers of securities beneficially owned by you shall be voted, and (2) making all elections relative to any mergers, acquisitions, tender offers, bankruptcy proceedings or other type events pertaining to your investment assets. We and/or you shall correspondingly instruct each custodian of the assets to forward to you copies of all proxies and shareholder communications relating to your investment assets.

Item 18: Financial Information

Financial Condition

We do not have any financial impairment that will preclude the firm from meeting contractual commitments to clients.

A balance sheet is not required to be provided because we do not serve as a custodian for your funds or securities, and do not require prepayment of fees of more than $600, and six months or more in advance.

Item 19: Requirements for State Registered Advisors

All principal executive officers and management persons are described in ADV Part 2 B attached.

We are not actively engaged in any other business.

We do not receive any performance based compensation.

No disclosure events have occurred.

California Disclosures

The California Code of Regulations imposes two notice requirements upon financial advisers: (a.) lower cost comparable services may be available from others, and (b.) the possibility exists for a conflict of interest between Client interests and ours. Clients are under no obligation to purchase advice or services from us.

Additional Information

Business Continuity Plan

General

We recognize the importance of continuity in our systems and services. We have formulated a Business Continuity Plan ("BCP") outlining actions designed to mitigate the impact of significant business disruptions

Disasters

The Business Continuity Plan covers natural and manmade disasters. Electronic email files are backed up immediately and archived offsite in Google Apps servers. Paper files are scanned as .PDF files and stored locally on the Fountain server along with other Fountain digital documents; these are backed up on two flash drives at least monthly, one of which is kept locally and the other is kept offsite.

Alternate Offices

An alternate office has been identified to support ongoing operations in the event the main office is unavailable. It is our intention to contact you within five days of a disaster that dictates moving our office to an alternate location.

Loss of Key Personnel

We have cross-trained Fountain Advisors in all phases of Fountain operations so that one Fountain advisor can assume the functions of another Fountain advisor in case of death, disability, or disaster. Currently, this applies to three of the four Fountain advisors. In the case of Douglas M. Pease' death or disability, there is an agreement with Austin W. Chinn to fill the position of sole member, manager and compliance officer.

Information Security

We maintain an information security program to reduce the risk that your personal and confidential information may be breached.

Privacy Notice

We are committed to maintaining the confidentiality, integrity and security of the personal information that is entrusted to us. The categories of nonpublic information that we collect from you may include information about your personal finances, information about your health to the extent that it is needed for the financial planning process, information about transactions between you and third parties, and information from consumer reporting agencies, e.g., credit reports. We use this information to help you meet your personal financial goals.

With your permission, we disclose limited information to attorneys, accountants, and mortgage lenders with whom you have established a relationship. You may opt out from our sharing information with these nonaffiliated third parties by notifying us at any time by telephone, mail, fax, email, or in person. With your permission, we share a limited amount of information about you with your brokerage firm in order to execute securities transactions on your behalf.

We maintain a secure office to ensure that your information is not placed at unreasonable risk. We employ a firewall barrier, secure data encryption techniques and authentication procedures in our computer environment.

We do not provide your personal information to mailing list vendors or solicitors. We require strict confidentiality in our agreements with unaffiliated third parties that require access to your personal information, including financial service companies, consultants, and auditors. Federal and state securities regulators may review our Company records and your personal records as permitted by law.

Personally identifiable information about you will be maintained while you are a client, and for the required period thereafter that records are required to be maintained by federal and state securities laws. After that time, information may be destroyed.

We will notify you in advance if our privacy policy is expected to change. We are required by law to deliver this Privacy Notice to you annually, in writing.

Brochure Supplement (Part 2B of Form ADV)

Education and Business Standards

Our general standards for accepting IAR's include but are not limited to a college degree, designation as a Certified Financial Planner™ certificant, and commitment to our fee-only and passive investment philosophies in client relationships.

Professional Certifications

Employees have earned certifications and credentials that are required to be explained in further detail.

Certified Financial Planner (CFP): Certified Financial Planners are licensed by the CFP Board to use the CFP mark. CFP certification requirements:

- Bachelor's degree from an accredited college or university.
- Completion of the financial planning education requirements set by the CFP Board (www.cfp.net).
- Successful completion of the 10-hour CFP® Certification Exam.
- Three-year qualifying full-time work experience.
- Successfully pass the Candidate Fitness Standards and background check.

Douglas Mac Donald Pease, CFP

Educational Background:

Year of birth: 1937

Dartmouth College, B.A.; History; 1958

CERTIFIED FINANCIAL PLANNER™ certificant, (1977 – Present)

Business Experience:

- Fountain Strategies, LLC (1/2007 to Present)

  Managing Member

  Investment Advisor Representative

- Maas Capital Advisors, LLC (11/03 - 12/06)

  Investment Advisor Representative

- KMS Financial Services, Seattle, WA (1/92 - 12/03)

  Registered Representative and Advisor Affiliate

Other Business Activities: None

Additional Compensation: None

Supervision:

Douglas M. Pease is the Managing Member and Chief Compliance Officer and supervises his own activities.

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Austin William Chinn, CFP

Educational Background:

* Year of birth: 1943

University of California Santa Cruz - Extension 2004 Certificate, Personal Financial Planning

Stanford University, B.A.; Psychology; 1966

CERTIFIED FINANCIAL PLANNER™ certificant, (2007 – Present)

Business Experience:

- Fountain Strategies, LLC (1/2007 to Present)

  Investment Advisor Representative

- Maas Capital Advisors, LLC 02/05 - 12/06

  Investment Advisor Representative

Other Business Activities: None

Additional Compensation: None

Supervision:

Austin W. Chinn is supervised by Douglas M. Pease, Managing Member. He reviews Austin W. Chinn's work through frequent office interactions as well as remote interactions.

SUPERVISOR'S contact information:

PHONE: 831-298-7036

EMAIL: Doug Pease (doug@fountainstrategiesllc.com)

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Manorama K. Pai, CFP

Educational Background:

* Year of birth: 1953

  University of California Irvine 2004 Personal Financial Planner Certificate

  Calicut University, Trichur, India, Home Economics 1974

  CERTIFIED FINANCIAL PLANNER™ certificant, (2011 – Present)

Business Experience:

- Fountain Strategies, LLC (9/2007 to Present)

  Investment Advisor Representative

Other Business Activities: None

Additional Compensation: None

Supervision:

Manorama K. Pai is supervised by Douglas M. Pease, Managing Member. He reviews Manorama K. Pai's work through frequent office interactions as well as remote interactions.

SUPERVISOR'S contact information:

PHONE: 831-298-7036

EMAIL: Doug Pease (doug@fountainstrategiesllc.com)

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Douglas M. Roesser, CFP, MSF

Educational Background:

* Year of birth: 1958

Golden Gate University, Masters Science, Finance; 1999

University of Colorado, B.A., Geography; 1981

CERTIFIED FINANCIAL PLANNER™ certificant, 2003 - Present

Business Experience:

- Fountain Strategies, LLC (12/2009 to Present)

  Investment Advisor Representative

- Integris Wealth Management, LLC (4/08 – 12/09)

  Investment Advisor Representative

- Family Wealth Consulting Group, Inc. (1/00 – 4/08)

  Investment Advisor Representative

Other Business Activities: None

Additional Compensation: None

Supervision:

Douglas M. Roesser is supervised by Douglas M. Pease, Managing Member. He reviews Douglas M. Roesser's work through frequent office interactions as well as remote interactions.

SUPERVISOR'S contact information:

PHONE: 831-298-7036

EMAIL: Doug Pease (doug@fountainstrategiesllc.com)

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None