

Uniform Application for Investment Adviser Registration

Part II - Page 1

OMB APPROVAL	
OMB Number:	3235-0049
Expires:	July 31, 2008
Estimated average burden hours per response	9.402

Name of Investment Adviser: Thomas A. Fisher, DBA Fisher Financial Strategies				
Address: (Number and Street)	(City)	(State)	(Zip Code)	Area Code: Telephone number:
245 First Street, Suite 1800	Cambridge	MA	02142	(617) 444-8555

**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.

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:

- (1) Provides investment supervisory services _____ %
- (2) Manages investment advisory accounts not involving investment supervisory services _____ %
- (3) Furnishes investment advice through consultations not included in either service described above 35 %
- (4) Issues periodicals about securities by subscription _____ %
- (5) Issues special reports about securities not included in any service described above _____ %
- (6) Issues, not as part of any service described above, any charts, graphs, formulas, or other devices which clients may use to evaluate securities _____ %
- (7) On more than an occasional basis, furnishes advice to clients on matters not involving securities 60 %
- (8) Provides a timing service _____ %
- (9) Furnishes advice about securities in any manner not described above 5 %

(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)

- (1) A percentage of assets under management (4) Subscription fees
- (2) Hourly charges (5) Commissions
- (3) Fixed fees (not including subscription fees) (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)

- A. Individuals E. Trusts, estates, or charitable organizations
- B. Banks or thrift institutions F. Corporations or business entities other than those listed above
- C. Investment companies G. Other (describe on Schedule F)
- D. Pension and profit sharing plans

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 type="checkbox"/> I. | Options contracts on: |
| <input checked="" type="checkbox"/> | (2) securities traded over-the-counter | <input checked="" type="checkbox"/> | (1) securities |
| <input type="checkbox"/> | (3) foreign issuers | <input type="checkbox"/> | (2) commodities |
| <input checked="" type="checkbox"/> B. | Warrants | <input type="checkbox"/> J. | Futures contracts on: |
| <input checked="" type="checkbox"/> C. | Corporate debt securities (other than commercial paper) | <input type="checkbox"/> | (1) tangibles |
| <input checked="" type="checkbox"/> D. | Commercial paper | <input type="checkbox"/> | (2) intangibles |
| <input checked="" type="checkbox"/> E. | Certificates of deposit | <input type="checkbox"/> K. | Interests in partnerships investing in: |
| <input checked="" type="checkbox"/> F. | Municipal securities | <input checked="" type="checkbox"/> | (1) real estate |
| <input type="checkbox"/> G. | Investment company securities: | <input checked="" type="checkbox"/> | (2) oil and gas interests |
| <input type="checkbox"/> | (1) variable life insurance | <input checked="" type="checkbox"/> | (3) other (explain on Schedule F) |
| <input type="checkbox"/> | (2) variable annuities | <input checked="" type="checkbox"/> L. | Other (explain on Schedule F) |
| <input checked="" type="checkbox"/> | (3) mutual fund shares | | |

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

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

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

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

- | | | | |
|---|---------------------------------------|---|---|
| (1) <input checked="" type="checkbox"/> | Financial newspapers and magazines | (5) <input type="checkbox"/> | Timing services |
| (2) <input type="checkbox"/> | Inspections of corporate activities | (6) <input checked="" type="checkbox"/> | Annual reports, prospectuses, filings with the Securities and Exchange Commission |
| (3) <input checked="" type="checkbox"/> | Research materials prepared by others | (7) <input checked="" type="checkbox"/> | Company press releases |
| (4) <input checked="" type="checkbox"/> | Corporate rating services | (8) <input 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 type="checkbox"/> | Trading (securities sold within 30 days) | (7) <input checked="" type="checkbox"/> | Other (explain on Schedule F) |
| (4) <input type="checkbox"/> | Short sales | | |

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
X □
(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:
o name formal education after high school
o 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:
 - (1) broker-dealer (7) accounting firm
 - (2) investment company (8) law firm
 - (3) other investment adviser (9) insurance company or agency
 - (4) financial planning firm (10) pension consultant
 - (5) commodity pool operator, commodity trading adviser or futures commission merchant (11) real estate broker or dealer
 - (6) banking or thrift institution (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
□ X
(If yes, describe on Schedule F the partnerships and what they invest in.)

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 <i>and</i> impose a minimum dollar value of assets or other conditions for starting or maintaining an account? | Yes | No |
| | <input type="checkbox"/> | X |

(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 Schedule F

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

See Schedule F

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

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

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

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

13. Additional Compensation.

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

- | | | |
|---|--------------------------|-------------------------------------|
| A. is paid cash by or receives some economic benefit (including commissions, equipment or non-research services) from a non-client in connection with giving advice to clients? | Yes | No |
| | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| B. directly or indirectly compensates any person for client referrals? | Yes | No |
| | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

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

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

- has custody of client funds or securities (unless applicant is registered or registering only with the Securities and Exchange Commission); or
 - requires prepayment of more than \$500 in fees per client and 6 or more months in advance
- Has applicant provided a Schedule G balance sheet? Yes No

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

Applicant:
**Thomas A. Fisher, DBA Fisher
Financial Strategies**

SEC File Number:
801- N/A

Date:
1/24/08

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

1. Full name of applicant exactly as stated in Item 1 A of Part I of Form ADV: Fisher, Thomas Adam	IRS Empl. Ident. No.: 20-4156299
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Item of Form (identify)	Answer
Item 1.D. Item 11.A.B.	<p><u>Advisory Services And Fees / Review of Accounts</u> Thomas A. ("Tom") Fisher, DBA Fisher Financial Strategies ("FFS") ("Adviser") provides fee-only, hourly, as-needed Financial Planning and Investment Advisory Services to individuals and families. These services may be general in nature or focused on particular areas of interest or need, depending on each client's circumstances. No commissions are earned. Fee-only, hourly compensation removes many of the conflicts of interest arising with commissions and other transaction-related sources of adviser compensation. Fisher Financial Strategies may also provide group educational workshops on financial planning and/or investing. Such workshops will be provided through a client contract with the organization or individual sponsoring the workshop.</p> <p>The client will enter into a written agreement with FFS setting forth the terms and conditions of the engagement, and describing the scope of the services to be provided. Advice or workshops may be rendered in the areas of cash flow management, debt management, risk management, college funding, retirement planning, estate planning, asset allocation and investment selection. The Adviser employs fundamental, long-term financial planning and investment strategies for most clients, although other investment strategies may be employed as requested. There are no minimums imposed by FFS for the size of investment holdings or net worth of its clients.</p> <p>Thomas A. Fisher, Principal, will prepare and present all financial plans. No on-going or continuous reporting will be provided to clients. In specific cases, at the client's request, FFS may be engaged to provide scheduled or periodic reviews of the client's investment holdings, e.g., on a quarterly basis. Mr. Fisher may work with as many clients as time and resources permit.</p> <p>Financial planning may cover any or all of the following areas:</p> <ul style="list-style-type: none"> • Retirement planning • Education planning • "Windfall planning" • Asset allocation • Investment Review and Recommendations • Estate planning • Asset management • Tax planning • Reviewing insurance needs • Special needs planning • Charitable or philanthropic planning • Other areas of importance to the client <p>Other areas important to the client may be reviewed by Adviser or outsourced to other experts for review (only with prior approval of the client). The financial plan may include specific financial and investment strategies as well as specific product recommendations, including equity and fixed-income products. The Adviser does not provide tax or legal advice, nor is specific advice regarding insurance contracts provided, although insurance needs analyses may be prepared.</p> <p>FFS first conducts an initial interview and gathers data to assist client in determining specific needs, goals, objectives and tolerance for risk. Clients will be required to furnish certain records and documents to FFS for review.</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:
**Thomas A. Fisher, DBA Fisher
Financial Strategies**

SEC File Number:
801 - N/A

Date:
1/24/08

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

1. Full name of applicant exactly as stated in Item 1 A of Part I of Form ADV: Fisher, Thomas Adam		IRS Empl. Ident. No.: 20-4156299
Item of Form (identify)	Answer	
Item 1.D. Services and Fees (cont.) Item 11.A.B. Review of Accounts (cont.)	<p>Depending on the scope of the engagement, these documents may include:</p> <ul style="list-style-type: none"> • Tax returns • Current financial specifics including W2s or 1099s • Information on current retirement plans and insurance provided by the client's employer • Mortgage information • Insurance policies • Statements reflecting current investments in retirement and non-retirement accounts • Copies of wills and trusts • Completed risk preference questionnaires or other questionnaires provided by FFS • Other pertinent documents <p>Upon receipt of these documents, FFS will review them in detail. Working with the client, FFS will identify and define the client's objectives and short- and long-term financial needs. Once the review is complete, FFS will develop an integrated analysis based on the client's current situation, expectations, investment objectives and investment time horizon. The client's risk tolerance (or ability to live comfortably with risks associated with investing) will also be taken into account. The Adviser will then present the analysis and a written summary of the significant observations, assumptions and recommendations in each area specified in the agreement. Reports provided in the presentation will vary by client.</p> <p>Upon the completion of this presentation, the engagement is concluded. Clients may re-engage Adviser as needed. Periodic, additional financial check-ups may be suggested by the Adviser, but it is the client's responsibility to initiate these additional reviews. A typical recommendation would be for the client to consult the Adviser annually or as material changes in the client's financial situation occur (e.g. retirement, loss or change of job, receipt of a significant bonus or inheritance, birth or adoption of a child, establishment of new financial objective, or other circumstances).</p> <p>Initial portfolio reports are provided when Fisher Financial Strategies is engaged to provide asset allocation or investment advice. The firm does not provide on-going performance reporting.</p> <p>Clients will receive account statements directly from the mutual fund companies and/or brokerage companies in which they hold investments. These statements are typically provided on a monthly or quarterly basis and as transactions occur.</p> <p>Implementation It is the client's choice whether or not to implement all or part of the advice provided by FFS. FFS may assist client with implementation (completing applications, understanding prospectuses, selecting a brokerage firm, etc.) at the normal hourly rate listed in the Fee section below. As stated, FFS does not provide tax, legal, or property and casualty insurance advice, but with the client's consent, FFS may work with client's other advisers (accountants, attorney, and/or insurance agent) to help with coordination and implementation of the agreed-upon strategies. Client should be aware that the other advisers will bill client separately for their services and these fees will be in addition to those of FFS. Specific product recommendations made by FFS will normally be for "no-load" (i.e., no commission) products. In some cases, such as insurance products, there may not be a suitable selection of no-load products available for recommendation.</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:
**Thomas A. Fisher, DBA
Fisher Financial Strategies**

SEC File Number:
801 - N/A

Date:
1/24/08

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

1. Full name of applicant exactly as stated in Item 1 A of Part I of Form ADV: Fisher, Thomas Adam		IRS Empl. Ident. No.: 20-4156299
Item of Form (identify)	Answer	
Item 1.D. Services and Fees (cont.)	<p><u>Fees and Payments</u> Fisher Financial Strategies charges a fee (fixed fee and/or hourly) for its services based on an hourly rate of \$180. Hourly fees are billed in one-minute increments. FFS's financial planning and consulting fees are negotiable at the Adviser's sole discretion. Financial planning engagements will typically range from \$600 to \$4,000, depending on the level and scope of the services required. No performance-related or asset management fees are charged. Projects spanning more than three months will be billed quarterly. Fees are not collected for services to be provided more than 6 months in advance. FFS does not and will not have custody of client funds or securities.</p> <p>FFS requires a deposit for initial engagements in the amount of the lesser of \$500 or ½ of the lower end of the estimated fee range. The fee will be adjusted only if the scope of the project changes and only with the prior written consent of the client. The balance of fees due are payable immediately upon presentation of the plan or advice to Client. Services to be provided and the anticipated fee range are detailed in the written Service Agreement. The same or different services may be provided by other firms at the same, higher, or lower prices.</p> <p>Either party may terminate an engagement upon written notice to the other party. If terminated within 5 business days of signing the Service Agreement, no penalties will be assessed and all prepaid fees will be returned promptly to the client. Should the client terminate the engagement after this date, the client will be responsible and will be invoiced for any time charges incurred by the Adviser for work done prior to termination.</p> <p>Fees paid to FFS for financial planning and advisory services are completely separate from the fees and expenses charged by mutual fund companies. A complete explanation of these fees and expenses are provided in each mutual fund prospectus. Clients are encouraged to read the prospectus before investing. Client may also incur transaction costs or administration fees from broker/dealers, trust companies or other service providers (e.g., transaction fees are charged for certain no-load mutual funds, commissions are charged for individual equity/debt securities transactions). Clients are encouraged to obtain a complete schedule of these fees from the service provider prior to entering into any engagement. FFS does not receive any portion of these other fees. The only compensation received by FFS is paid directly to us by the client.</p>	
Item 3.K. Item 3.L.	<p><u>Types of Investments</u> FFS recommends that client's investment management assets be allocated primarily among various open-end, no-load and load-waived mutual funds (with emphasis on index funds), as well as exchange-traded funds, in accordance with the client's investment objectives. In specific situations, limited investment in individual stocks or load mutual funds may be recommended. In situations where client investment selections are constrained (e.g., individual employer-sponsored retirement plans), FFS will recommend investment allocations within the limits of the available choices.</p> <p>FFS offers advice on various real estate investments. In most situations, we will not recommend limited partnerships. Advice may also be provided on CMOs (collateralized mortgage obligations), 529 plans, REITs (real estate investment trusts) and tax credit programs that may involve low income housing and/or oil and gas. This may not be an all-inclusive list. FFS may also provide advice about any type of investment held in a client's portfolio at the beginning of the advisory relationship.</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:
Thomas A. Fisher, d.b.a. Fisher
Financial Strategies

SEC File Number:
801 - N/A

Date:
1/24/08

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

1. Full name of applicant exactly as stated in Item 1 A of Part I of Form ADV: Fisher, Thomas Adam		IRS Empl. Ident. No.: 20-4156299
Item of Form (identify)	Answer	
Item 4. A., B., & C.	<p><u>Methods of Analysis and Investment Strategies</u> When FFS is engaged to provide investment advice, client's current financial situation, needs, goals, objectives, and tolerance for risk are first evaluated. Asset allocation and investment policy recommendations are then made, in Adviser's best judgment, to help client pursue overall financial objectives while minimizing risk exposure. Asset allocation is a key component of investment portfolio design. Adviser believes that the appropriate allocation of assets across diverse investment categories is a key determinant of portfolio returns and is critical in the long-term success of one's financial objectives.</p> <p>Adviser employs fundamental and quantitative analysis and encourages long-term, buy-and-hold philosophies and approaches in its investment selection and implementation strategies. In limited circumstances, Advisor may provide advice to clients interested in short-term securities investment or option writing.</p> <p>Recommendations provided are based on publicly available reports, analysis, research materials, computerized asset allocation models, and various subscription services. Adviser may use various software programs and the Internet for additional research/analysis.</p>	
Item 5.	<p><u>Education and Business Standards</u> Individuals rendering financial planning and/or investment advice on behalf of FFS must have earned a bachelor's degree, have substantial investment-related knowledge and experience, and have (or be working towards) at least one advanced degree. Such individuals shall have attained all required investment-related licenses.</p>	
Item 6.	<p><u>Education and Business Background</u> Thomas A. Fisher, CRD # 5077604 Year of birth: 1959 Formal education after high school: Furman University, Greenville, SC, B.S., Chemistry, 1981; Harvard University, Cambridge, MA, M.A., Chemistry, 1983; Boston University, Boston, MA, Certificate in Financial Planning, completed 2008 Professional designations: NASD Series 65, 11/30/2005 Business background: Employed as research chemist/ project manager/ senior engineer in the electronic chemicals industry from 1985 to 2005 at Shipley Company (later Rohm and Haas Electronic Materials). Founder and principal, Fisher Financial Strategies, 10/2005 to present.</p>	
Item 7.A.	<p><u>Other Business Activities</u> Thomas A. Fisher owns and actively manages a residential rental property in Cambridge, MA. He has previously served, and may serve in the future, as a member and officer of the Trustees of the Synod of the Reformed Presbyterian Church of North America. This is a tax-exempt corporation organized under the laws of the Commonwealth of Pennsylvania. The principal function of the corporation is to hold and manage property and investments for the benefit of the Reformed Presbyterian Church of North America and its related ministries.</p>	
Item 8.	<p><u>Other Financial Industry Activities or Affiliations</u> Adviser may provide referrals to other investment advisory firms as a service to clients. Adviser does not have agreements with or receive referral fees from any other firms. Thomas A. Fisher is a member of Garrett Planning Network ("GPN"), a nationwide network of professional, fee-only financial advisers. GPN members are dedicated to providing competent, unbiased financial advice to people from all walks of life. This group of independent financial planners supports each other through the sharing of technical, operational and marketing information. Nationally-recognized founder. Shervl Garrett, CFP®, provides training and operational procedures.</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:
Thomas A. Fisher, d.b.a. Fisher
Financial Strategies

SEC File Number:
801 - N/A

Date:
1/24/08

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

1. Full name of applicant exactly as stated in Item 1 A of Part I of Form ADV: Fisher, Thomas Adam		IRS Empl. Ident. No.: 20-4156299
Item of Form (identify)	Answer	
Item 9.	<p><u>Participation or Interest in Client Transactions</u> At times employees and other related parties to Adviser may hold positions in securities that may also be recommended to clients. However, at no time will Adviser or any related party receive preferential treatment over clients.</p> <p>FFS enforces the applicable rules of the Investment Advisers Act of 1940, including the prohibition against insider trading. Adviser maintains the required personal securities transaction records for all employees.</p> <p><u>Code of Ethics</u> Fisher Financial Strategies, in recognition of its fiduciary duty to its clients, maintains a Code of Ethics which will be provided to any client or prospective client upon request. FFS has a duty to act for the benefit of its clients, to place the interests of its clients first and to refrain from having outside interests that conflict with the interests of its clients. FFS must avoid circumstances that may adversely affect its duty of complete loyalty to its clients. All personnel of FFS shall behave ethically in their professional capacities and will act with integrity and competence.</p> <p>The Adviser shall only recommend those investments that it has a reasonable basis for believing are suitable for a client, based upon the client's particular situation and circumstances, as communicated by the client. FFS shall exercise its best efforts to act in good faith and in the best interests of its clients. The Adviser shall provide written disclosure to the client prior to a client engagement, and thereafter throughout the term of the engagement, of any conflicts of interest, which will or reasonably may compromise its impartiality or independence.</p> <p>FFS personnel are prohibited from making an untrue statement of a material fact or failing to state a material fact which, by its omission, could mislead a client. They may not engage in fraudulent, manipulative, or deceitful acts toward a client. Fisher Financial Strategies personnel are required to comply with applicable state and federal securities laws.</p>	
Item 12.	<p><u>Brokerage Recommendations</u> FFS is not associated with any broker/dealer firm. The Adviser may recommend the services of discount brokers (e.g. Charles Schwab, Vanguard, TD Waterhouse or Fidelity). Broker recommendations are based on client needs, total costs, and ease of use for clients. Neither Adviser nor its related persons receives any compensation in the form of commissions or 12b-1 fees.</p>	
Item 13.	<p><u>Additional Compensation</u> All compensation paid to the Adviser is paid directly by its clients. Prospective clients may be referred to FFS through the GPN website, www.garrettplanningnetwork.com. Adviser pays operational fees to Garrett Planning Network, but nothing is paid to GPN for client referrals. Clients referred by GPN do not pay more for the services of the Adviser than clients who learn about FFS from another source. FFS does not receive a fee or other compensation from any third party based on the referral of a client or based on the client's business.</p> <p><u>Privacy Policy</u> All non-public, personal information exchanged between client and Adviser shall be treated as confidential and shall not be disclosed to third parties, except as expressly requested by client or as required by law. Client disclosure permission must be given in writing, and will be kept in client's file.</p>	

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