

**Applicant:**  
**Robert Grey an SEC Registered Investment Advisor**

**SEC File Number:**  
801 - 21562

**Date:**  
**04/05**

(Answers for Form ADV Part I Items 11 and 12.)

This Schedule is submitted for an individual who is: (Check all boxes that apply).

- A. the applicant, named in Part I Item 1A
- B. a control person, named in Part I Item 10A
- C. an owner of at least 10% of a class of applicant's equity securities
- D. an officer or director, partner, or individual with similar status of applicant, described in Schedule A Item 2a, Schedule B Item 2, or Schedule C Item 2
- E. a member of the applicant's investment committee that determines general investment advice to be given to clients
- F. if applicant has no investment committee, an individual who determines general client advice (if more than five, complete for their supervisors only)
- G. an individual giving investment advice on behalf of the applicant in the jurisdictions checked below:

AL	___	AK	___	AZ	___	AR	___	CA	___	CO	<b>x</b>	CT	___	DE	___	DC	___	FL	<b>x</b>	GA	___	HI	___	ID	___		
IL	___	IN	___	IA	___	KS	___	KY	___	LA	<b>x</b>	ME	___	MD	___	MA	___	MI	___	MN	___	MS	___	MO	___		___
MT	___	NE	___	NV	___	NH	___	NJ	___	NM	___	NY	___	NC	___	ND	___	OH	___	OK	___	OR	___	PA	___		___
RI	___	SC	___	SD	___	TN	___	TX	___	UT	___	VT	___	VA	___	WA	___	WV	___	WI	___	WY	___	PR	___		___

Other): \_\_\_\_\_  
(Specify)

- H. involved in any yes answer to the disciplinary question, Part I Item 11.

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

**Schedule D of  
Form ADV  
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Applicant: <b>Robert Grey, Registered Investment Advisor</b>	SEC File Number: 801 - <b>21562</b>	Date: <b>09/03</b>
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(Answers for Form ADV Part I Items 11 and 12.)

1. Applicant investment adviser: (see Part I Item 1A) <b>Robert Grey, Registered Investment Advisor</b>			IRS Empl. Ident. No.:
2. Individual's full name for whom this Schedule is being completed: <b>Robert Edmund Grey</b>	Social Security Number:	CRD No., if any: <b>702255</b>	IRS Empl. Ident. No.:
3. (a) Residence of individual: (Number and Street) <b>1453 Delgany</b>		(City) <b>Denver</b>	(State) (Zip Code) <b>CO 80202</b>
(b) Birth Date: <b>11/10/46</b>	(c) City: <b>Miami</b>	(d) State or Province: <b>Florida</b>	(e) Country: <b>USA</b>
4. NAMES USED. List all names other than the one given in Item 2 above that the individual has used, including maiden names. (Last) (First) (Middle) <b>N/A</b>			

5. EDUCATION. Start with last high school attended. If no degree received, state "none."				
School: (Name, City and State)	Years Attended	Year Graduated	For College and above Degree Major	
<b>St. Edward High, Lakewood, Ohio</b>	<b>4</b>	<b>1964</b>		
<b>Miami University, Oxford, Ohio</b>	<b>4</b>	<b>1968</b>	<b>BA, Pre-law, Public Admin.</b>	
<b>Univ. of Denver, Iliff School, Denver, CO</b>	<b>3</b>	<b>1973</b>	<b>MA, Education</b>	

6. BUSINESS BACKGROUND. Provide complete consecutive statement of all employment for the past ten years, beginning with the most recent position first							
Name of Firm and Address	Kind of Business	Exact Nature of Connection or Employment	Beginning Date		Ending Date		
			Month	Year	Month	Year	
<b>Johnston Grey Inc. 1401 Wewatta St. #110, Denver, CO 80202</b>	<b>Financial Services</b>	<b>Chrm. of Board</b>	<b>Mar</b>	<b>83</b>			
<b>Pentad Securities, Inc. 1425 Market St. Denver, CO</b>	<b>Broker/Dealer</b>	<b>Registered Rep.</b>	<b>Aug</b>	<b>96</b>	<b>Mar</b>	<b>00</b>	
<b>Mariner Financial Services Inc. 17199 N. Laurel Park Dr. Livonia, MI</b>	<b>Broker/Dealer</b>	<b>Registered Rep.</b>	<b>Jan</b>	<b>90</b>	<b>Dec</b>	<b>94</b>	
<b>New England Securities 501 S. Cherry #400, Denver, CO</b>	<b>Broker Dealer</b>	<b>Registered Rep.</b>	<b>Mar</b>	<b>86</b>	<b>Dec</b>	<b>89</b>	
<b>New England Companies 501 S. Cherry #400, Denver, Co</b>	<b>Financial Services Insurance</b>	<b>Registered Rep. Agent</b>	<b>Oct</b>	<b>80</b>	<b>Dec</b>	<b>89</b>	
<b>Integrated Resources 333 Third Ave. NY, NY</b>	<b>Broker Dealer</b>	<b>Registered Rep.</b>	<b>Dec</b>	<b>79</b>	<b>Mar</b>	<b>86</b>	
<b>Mass Mutual 720 S. Colorado #944, Denver, CO</b>	<b>Insurance</b>	<b>Agent</b>	<b>Jun</b>	<b>74</b>	<b>Oct</b>	<b>80</b>	
<b>Archdiocese of Denver 200 Josephine, Denver, CO</b>	<b>Catholic Church</b>	<b>Youth Minister</b>	<b>Sep</b>	<b>69</b>	<b>Jun</b>	<b>74</b>	

7. EXAMINATIONS/PROFESSIONAL DESIGNATIONS. List all jurisdiction, self-regulatory organization, and professional examinations and designations. Give examination or designation name (include any examination's title and number) body giving it and date taken or conferred. If examination was waived, give details. <b>NASD, General Securities Principal Exam, Series 24, passed 10/17/83</b> <b>NASD, General Securities Rep. Exam, Series 7, passed 9/22/83</b> <b>NASD, Series 6 &amp; Series 24, passed 12/19/79</b> <b>Chartered Life Underwriter, American College, Bryn Mawr, PA, 1981</b> <b>Resident Agent, State of Colorado, life, annuity, health, May 1974</b>
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8. PROCEEDINGS. For each 'yes' answer to Part I Item 11 involving the individual, give the following details of any court or regulatory action: <ul style="list-style-type: none"> <li>the advisor and individual named,</li> <li>the title and date of the action,</li> <li>the court or body taking the action, and</li> <li>a description of the action</li> </ul>
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Complete amended pages in full, circle amended items and file with execution page (page 1).