

## FORM ADV

## Uniform Application for Investment Adviser Registration

## Part II - Page 1

## OMB APPROVAL

OMB Number  
Expires:  
Estimated average burden  
hours per response ..... 9.402

Name of Investment Adviser:

EQUIS GROUP LLC

Address: (Number and Street)	(City)	(State)	(Zip)	Area Code:	Telephone Number:
17603 Garden Ridge Circle	Wildwood,	MO	63038	(636)	458-7777

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 1 of this Form, for the use of regulatory bodies, and are not distributed to clients.)

Potential persons who are to respond to the collection of  
information contained in this form are not required to respond  
unless the form displays a currently valid OMB control number.

## FORM ADV

## Part II - Page 2

Applicant:

EQUIS GROUP LLC

SEC File Number:

132755

Date:

12/1/2009

## Definitions for Part II

Related person — Any officer, director or partner of applicant or any person directly or indirectly controlling, controlled by, or under common control with the applicant, including any non-clerical, non-ministerial employee.

Investment Supervisory Services — Giving continuous investment advice to a client (or making investments for the client) based on the individual needs of the client. Individual needs include, for example, the nature of other client assets and the client's personal and family obligations.

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 .....   | 70% |
| <input type="checkbox"/> (2) Manages investment advisory accounts not involving investment supervisory services .....  | %   |
| (3) Furnishes investment advice through consultations not included in either service described above.....  | %   |
| <input type="checkbox"/> (4) Issues periodicals about securities by subscription.....  | %   |
| <input type="checkbox"/> (5) Issues special reports about securities not included in any service described above.....  | %   |
| <input type="checkbox"/> (6) Issues, not as part of any service described above, any charts, graphs, formulas, or other devices which clients may use to evaluate securities ..... | %   |
| <input checked="" type="checkbox"/> (7) On more than an occasional basis, furnishes advice to clients on matters not involving securities .....                                    | 30% |
| (8) Provides a timing service .....  | %   |
| <input type="checkbox"/> (9) Furnishes advice about securities in any manner not described above .....   | %   |

(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 |
| (2) Hourly charges   | (5) Commissions                                |
| <input checked="" type="checkbox"/> (3) Fixed fees (not including subscription fees) | <input type="checkbox"/> (6) Other             |

D. For each checked box in A above, describe on Schedule F:

- the services provided, including the name of any publication or report issued by the adviser on a subscription basis or for a fee
- applicant's basic fee schedule, how fees are charged and whether its fees are negotiable
- when compensation is payable, and if compensation is payable before service is provided, how a client may get a refund or may terminate an investment advisory contract before its expiration date

2. **Types of Clients** — Applicant generally provides investment advice to: (check those that apply)

- |   |   |
|---|---|
| <input checked="" type="checkbox"/> A. Individuals                      | <input checked="" type="checkbox"/> E. Trusts, estates, or charitable organizations |
| <input type="checkbox"/> B. Banks or thrift institutions                | 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:

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3. **Types of Investments.** Applicant offers advice on the following: (check those that apply)

- |   |   |
|---|---|
| <input checked="" type="checkbox"/> A. Equity Securities<br>(1) exchange-listed securities<br><input checked="" type="checkbox"/> (2) securities traded over-the-counter<br><input checked="" type="checkbox"/> (3) foreign issuers | <input checked="" type="checkbox"/> H. United States government securities  |
| B. Warrants   | I. Options contracts on:<br>(1) securities<br>(2) commodities   |
| <input checked="" type="checkbox"/> C. Corporate debt securities<br>(other than commercial paper)   | J. Futures contracts on:<br>(1) tangibles<br>(2) intangibles  |
| D. Commercial paper   | K. Interests in partnerships investing in:<br>(1) real estate<br>(2) oil and gas interests<br>(3) other (explain on Schedule F) |
| <input checked="" type="checkbox"/> E. Certificates of deposit  | L. Other (explain on Schedule F)  |
| <input checked="" type="checkbox"/> F. Municipal securities   |   |
| G. Investment company securities:<br>(1) variable life insurance<br>(2) variable annuities<br>X (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) Charting  | (4) Cyclical                      |
| (2) <input checked="" type="checkbox"/> Fundamental | (5) 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) Timing services   |
| (2) 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) 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<br>(securities held at least a year) | (5) <input type="checkbox"/> Margin transactions   |
| (2) <input checked="" type="checkbox"/> Short term purchases<br>(securities sold within a year)  | (6) <input type="checkbox"/> Option writing, including covered options,<br>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   |  |

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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)

- X A. Applicant is actively engaged in a business other than giving investment advice.
- X 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.)

- 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.

**Each investment advisory account is reviewed at the time a Client enters into a financial advisory agreement. Thereafter, managed accounts are reviewed at least annually, however accounts are typically reviewed for allocation/performance monthly. Other accounts are reviewed at least annually, depending on the needs and instructions of the Client. Significant market activity or account appreciation or depreciation generally will trigger a review. Transaction reviews occur on receipt by EQUIS GROUP LLC on Client confirmation statements.**

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

**Investment advisory clients will receive a written report relating to EQUIS GROUP's investment analysis or financial planning services. Reports to Clients with managed accounts will be prepared and sent quarterly. The frequency of reports to other Clients is determined by the needs and directions of the Client. Clients also receive account statements from Schwab Institutional on a periodic basis (usually monthly or quarterly) as established by custodian.**

Applicant:

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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:

- |  |                                     |                                     |
|--|-------------------------------------|-------------------------------------|
|  | Yes                                 | No                                  |
| (1) securities to be bought or sold? .....               | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| (2) amount of the securities to be bought or sold? ..... | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| (3) broker or dealer to be used? .....                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| (4) commission rates paid? .....                         | <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 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                       |
|   | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| B. directly or indirectly compensates any person for client referrals? .....  | Yes                                 | No                       |
|   | X                                   |                          |

(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; 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
	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Applicant: <b>EQUIS GROUP LLC.</b>	SEC File Number: 132755	Date: 12/10/09
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(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 1A of Part I of Form ADV: <b>EQUIS GROUP LLC</b>	IRS Empl. Ident. No.: 20 1602678
Item of Form (identify)	Answer
<b>Item 1.A-D</b>	<p style="text-align: center;"><b><u>CLIENT SERVICES</u></b></p> <p>Equis Group LLC ("FLA") provides investment services (account management on an individualized basis), general financial planning (analysis of individual's assets, income asset allocation, financial need, risk tolerance, investment objectives and goals), and advice regarding investments in securities, insurance products, and asset allocation services. Equis also provides management consulting services. Equis fee structure is negotiable, but is typically 1%-2% based on the total assets under management and nature of services provided. Equis Group's investment advisory services and its customary fees are described below.</p> <p style="text-align: center;"><b><u>FINANCIAL PLANNING SERVICES</u></b></p> <p>Equis offers financial planning services to meet a variety of Clients' goals including, estate planning, retirement planning, college funding, minimization of taxes and/or investment savings. Equis will develop financial plans for Clients based on the Client's risk tolerance, age, income level, economic goals and/or any other elements outlined by the Client. Each financial plan developed by Equis will use strategies designed to achieve the Client's financial goals. The particular strategies selected to implement the plan may include formation of trusts or purchase of real estate and/or insurance products such as life insurance.</p> <p>Joe Corbett will determine the fee to be charged on an individual Client basis, based upon the complexity of the Client's situation, as well as the degree of service selected by the Client, which will generally range from \$100.00 to \$200.00 per hour at service, but may be negotiable. At the time of engagement the Client may be quoted a fixed fee for all or part of the services to be provided. In all cases, the fee arrangement is described in the Client engagement letter.</p> <p>The Client will also be able to engage Equis to conduct a review on a periodic or annual basis for an hourly or fixed fee.</p> <p style="text-align: center;"><b><u>INVESTMENT MANAGEMENT SERVICES</u></b></p> <p>When a specific strategy is decided upon, the implementation of that strategy begins. Equis will develop a strategic asset allocation model which helps to determine the various types of assets to include or exclude from Client's portfolio, and in what proportion those asset types should be held, based on the Client's goals/objectives, risk tolerance and other constraints. (Modern Portfolio Theory)</p> <p>Equis manages Client portfolios through Schwab Institutional (custodian). Securities that may be purchased for this account include no-load mutual funds, load funds at net asset value, and individual stocks and bonds. Minimum account size is set at \$100,000 per account as set by managers.</p>

Applicant: <b>EQUIS GROUP LLC</b>	SEC File Number: <b>132755</b>	Date: <b>12/10/09</b>
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(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 1A of Part I of Form ADV: <b>EQUIS GROUP LLC</b>		IRS Empl. Ident. No.: 20 1602678						
Item of Form (identify)	Answer							
<b>Item 1.D. (cont'd.)</b>	<p>Clients will incur the following annual management fee, billed and payable quarterly in arrears, based on the market value of assets under management on approximately the last business day of the month marking the end of the calendar quarter:</p> <table border="0"> <thead> <tr> <th><u>Assets Under Management</u></th> <th><u>Annual Fee</u></th> </tr> </thead> <tbody> <tr> <td>\$ 100,000-5,000,000</td> <td>2.00%</td> </tr> <tr> <td>5,000,001 and greater</td> <td>1.00%</td> </tr> </tbody> </table> <p>Fees are negotiable. There is a \$7,500 minimum annual fee. Client portfolios will be reviewed every quarter for performance levels by Equis. Adjustments may be made to the portfolio based on the Client's risk tolerance, diversification shifts, tax consequences and other economic factors.</p> <p style="text-align: center;"><b><u>MANAGED ASSETS PROGRAM</u></b></p> <p>In addition to the aforementioned investment advisory products and services, the Adviser also offers its clients the Managed Assets Program (the "Program").</p> <p>The Program is a comprehensive, personal investment management program, which provides clients with access to multiple institutional managers who will provide investment advice to client portfolios consisting of individual stocks and bonds.</p> <p>The Program is sponsored by Charles Schwab &amp; Co. As sponsor of the Program, Schwab has created a <i>Program Brochure</i> which will be distributed to the Adviser's clients prior to or concurrent with their engagement in the Program. Clients should read it thoroughly prior to investing.</p>		<u>Assets Under Management</u>	<u>Annual Fee</u>	\$ 100,000-5,000,000	2.00%	5,000,001 and greater	1.00%
<u>Assets Under Management</u>	<u>Annual Fee</u>							
\$ 100,000-5,000,000	2.00%							
5,000,001 and greater	1.00%							



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Applicant: <b>EQUIS GROUP LLC</b>	SEC File Number: <b>132755</b>	Date: <b>12/10/09</b>
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(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 1A of Part I of Form ADV: <b>EQUIS GROUP LLC</b>	IRS Empl. Ident. No.: 20 1602678
Item of Form (identify)	Answer

<b>Item 1.D. (cont'd.)</b>	<p style="text-align: center;"><b>GENERAL INFORMATION</b></p> <p>Fees are negotiable and may be waived in certain circumstances. Mutual funds in which a Client's assets are invested charge management and other fees as described in the fund's prospectus. Equis's investment advisory fees do not include custodial fees. Equis will not accept custody of Client funds or securities. Fees will not be based on a share of capital gains or capital appreciation of the funds of an advisory Client.</p> <p>Portions of Client's managed assets may be invested in money market funds as "sweep" vehicles for funds that are not invested at the end of a day's trading. Mutual funds and money market funds charge fees and expenses, which are described in each Fund's prospectus, and will generally include a management fee, other fund expenses, and a possible distribution fee. These fees and expenses are in addition to the fees charged by Equis. Accordingly, Clients should review both the fees charged by any funds in which Clients assets are invested and the fees charged for the Program to fully understand the total amount of fees to be paid by the Clients and to thereby evaluate the advisory services being provided.</p> <p><u>Termination and Refund</u></p> <p>Clients retain the right to terminate the services of Equis at any stage, for any reason, upon thirty (30) days written notice to Equis. Equis retains the right, for any reason, to terminate its services. If Equis does so prior to completion of the initial engagement, no fee shall be due.</p>

Applicant: <b>EQUIS GROUP LLC</b>	SEC File Number: <b>132755</b>	Date: <b>12/10/09</b>
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1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: <b>EQUIS GROUP LLC</b>		IRS Empl. Ident. No.: XXXXX
Item of Form (identify)	Answer	
<b>Item 3.L</b>	<p align="center"><b>TYPES OF INVESTMENTS</b></p> <p>With respect to privately managed Schwab Select or Schwab Marketplace Accounts Program sponsored by Schwab, Equis introduces Clients to investment managers who provide discretionary asset management of individual portfolios of equity and/or fixed income securities.</p>	
<b>Item 4.A.(5)</b>	<p align="center"><b>METHODS OF ANALYSIS</b></p> <p>Equis evaluates the potential benefits and risks inherent within investment categories. Investment characteristics are then matched to the Client's needs and preferences to determine an appropriate mix of investment vehicles.</p>	
<b>Item 4.B.(8)</b>	<p align="center"><b>SOURCES OF INFORMATION</b></p> <p>Equis utilizes financial planning software from various sources, as well as more traditional formats, for sources of investment information. Equis uses model portfolios provided by a number of institutional investment strategists and based on the information, research and asset allocation methodology of these investment strategists. For additional information regarding fees, please refer to the Program Disclosure Statement – Schedule H.</p>	
<b>Item 4.C.(7)</b>	<p align="center"><b>INVESTMENT STRATEGIES</b></p> <p>Investment strategies are designed to satisfy a hierarchy of Client goals and objectives. First, a Client's need for short term cash flow and liquidity are considered. Appropriate investment vehicles and a cash reserve are recommended. Second, long-term growth needs combined with continuing liquidity needs are examined. Investments are selected which appear attractive for long-term growth and which are readily convertible to cash should circumstances warrant. Once these first two needs are satisfied, emphasis is placed on long-term investments which may provide tax reduction benefits.</p>	

Applicant: <b>EQUIS GROUP LLC</b>	SEC File Number: <b>132755</b>	Date: <b>12/10/09</b>
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1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: <b>EQUIS GROUP LLC</b>		IRS Empl. Ident. No.: xxxxx
Item of Form (identify)	Answer	
<b>Item 5</b>	<p align="center"><b>EDUCATION AND BUSINESS STANDARDS</b></p> <p>As a general standard, individuals involved in determining or giving investment advice to Clients must hold a degree from an accredited college, and preferably an advanced degree in business or finance, and/or earned professional designations within the financial services industry (e.g., CFP, CPA, ChFC, CFA), or have sufficient background and experience in the business of general securities and financial planning.</p>	

#### BUSINESS/EDUCATION BACKGROUND

Joseph L Corbett – Financial Advisor  
 Madison University, Bachelor of Science, Business Administration. Graduated Cum Laude  
 1991-2001 Equis Group LLC-President, Financial Advisor  
 2001-2004 Octagon Financial Services – Financial Advisor  
 2004 to present Equis Group LLC – Financial Advisor

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

Applicant: <b>EQUIS GROUP LLC</b>	SEC File Number: <b>132755</b>	Date: <b>12/10/09</b>
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(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 1A of Part I of Form ADV: <b>EQUIS GROUP LLC</b>		IRS Empl. Ident. No.: XXXXX
Item of Form (identify)	Answer	
<b>Item 7.A and B</b>	<b>OTHER BUSINESS ACTIVITIES</b>  In addition to giving financial planning and investment advice, Equis will give advice to Clients with respect to insurance products. Joseph L Corbett in an Advisory Representative of Equis Group LLC and is also a licensed insurance agent of various insurance companies. In the event a Client chooses to implement a financial plan by purchasing insurance products through a Joseph L Corbett, the Representative will receive economic benefits in the form of commissions paid by the applicable insurance company.	

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

Applicant: <b>EQUIS GROUP LLC</b>	SEC File Number: <b>132755</b>	Date: <b>12/10/09</b>
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(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 1A of Part I of Form ADV: <b>EQUIS GROUP LLC</b>		IRS Empl. Ident. No.: XXXXX
Item of Form (identify)	Answer	
<b>Item 8.C.(6)</b>	Charles Schwab Institutional is a trust company or bank, which also may act as trustee or administrator for employee benefit accounts, individual retirement accounts and other retirement or pension plan accounts which are Clients of Equis. Clients are not required to use Charles Schwab and Company over other approved custodians or trust banks. Equis does not share in the fees charged by Schwab.	
<b>Item 9.C,E</b>	From time to time, related persons of Equis, including Joe Corbett, may purchase securities for their personal accounts that they also recommend to Clients. In such cases, Equis will not effect transactions for their personal accounts which will be contrary to recommendations being made to Clients. Further, Equis will not compete with Clients in connection with such transactions. Equis has adopted an Insider Trading Policy that prohibits its employees from trading on material, non-public information.	
<b>Item 10</b>	<p style="text-align: center;"><b>MINIMUM ACCOUNT REQUIREMENTS</b></p> <p>The minimum investment required in Schwab management platform is generally \$100,000 for Managed Accounts. Equis typically requires this minimum account balance as well. Accounts under these minimums may be accepted on an individual basis at the sole discretion of Equis</p>	

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1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: <b>EQUIS GROUP LLC</b>		IRS Empl. Ident. No.: XXXXX
Item of Form (identify)	Answer	
<b>Item 12.A-B.</b>	<p align="center"><b>INVESTMENT AND BROKERAGE DISCRETION</b></p> <p>EQUIS has discretion to direct the purchase and sale of securities in the discretionary managed accounts. This discretion is limited to purchases and sales, amount of the purchase or sale and choice of securities bought or sold. Equis's discretion also may be limited, according to the terms of the Client's financial advisory agreement, as to the types of investments allowed.</p> <p>Written authorization for limited trading discretion is obtained from certain advisory Clients to purchase and sell load and no-load mutual funds at net asset value (NAV). No commissions will be earned by Equis or its Advisory Representatives for any such limited discretionary transactions.</p> <p>Equis does not take any independent discretionary authority over Managed Accounts in the Select and Marketplace platforms. Equis does, however, offer Clients participation in these platforms, an asset allocation program more fully described in the Managed Accounts Investment Services Program Disclosure Document. Model portfolios composed by a group of independent investment strategists are offered under the managed account program, with the different models designed to satisfy a range of risk/return assumptions. The independent investment strategists have no direct relationship with Equis or the Client, make no analysis of the Clients' circumstances or objectives, and do not tailor the model to any specific Client's needs. Equis provides the analysis of the Clients' circumstances and objectives.</p>	

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

Applicant: <b>EQUIS GROUP LLC</b>	SEC File Number: <b>132755</b>	Date: <b>12/10/09</b>
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(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 1A of Part I of Form ADV: <b>EQUIS GROUP LLC</b>		IRS Empl. Ident. No.: XXXXX
Item of Form (identify)	Answer	
<b>Item 13.A and B</b>	<p style="text-align: center;"><b>ADDITIONAL COMPENSATION</b></p> <p>Equis may from time to time, enter into written agreements with certain individuals and entities who will act as solicitors of accounts for Equis in accordance with the requirements of Rule 206(4)-3 of the Investment Advisors Act of 1940 and the securities law of various states. Applicant's referral agreement is in compliance with the federal regulations as set out in 17 C.F.R. Section 275-206(4)-3 and each client is given a copy of the referral agreement prior to or at the time of entering into an advisory contract in Missouri. The individual or entity who solicits the Client account will receive a portion of the total fee paid to Equis for managing the account. Unless the individual is an officer, director, or employee of Equis, they will provide each Client with certain disclosure documents including a "Solicitor's Disclosure Statement" which, among other things, will set forth the amount of the fee paid by Equis in connection with the Client referral. Additionally, Equis employs Gregory P Drozda and a full time solicitor. Gregory P Drozda is paid a full time salary by Equis Group LLC.</p>	



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

Applicant: <b>EQUIS GROUP LLC</b>	SEC File Number: <b>132755</b>	Date: <b>12/10/09</b>
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(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 1A of Part I of Form ADV: <b>EQUIS GROUP LLC</b>		IRS Empl. Ident. No.: xxxxx
Item of Form (identify)	Answer	
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Applicant: <b>EQUIS GROUP LLC</b>	SEC File Number: <b>132755</b>	Date: <b>12/10/09</b>
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1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: <b>EQUIS GROUP LLC</b>		IRS Empl. Ident. No.: XXXXX
Item of Form (identify)	Answer	
	<p style="text-align: center;"><b>IMPORTANT NOTICE REGARDING PRIVACY</b></p> <p>Maintaining your trust and confidence is a high priority. That's why we want you to understand how we protect your privacy when we collect and use information about you, and the steps that we take to safeguard that information.</p> <p><b><u>Information We Collect.</u></b> In connection with providing you with investment products, financial advice, or other services, we obtain nonpublic personal information about you, including:</p> <ul style="list-style-type: none"> <li>• Information we receive from you on applications.</li> <li>• Information about your transactions with us or others, including your financial adviser; and</li> <li>• Information from credit or service bureaus or other third parties.</li> </ul> <p><b><u>Information We Disclose.</u></b> We will not disclose information regarding you or your account with us except under the following circumstances:</p> <ul style="list-style-type: none"> <li>• To your financial adviser and his or her manager;</li> <li>• To establish or maintain an account with an unaffiliated third party, such as a clearing broker providing services to you or Schwab Institutional;</li> <li>• To government entities or other third parties in response to subpoenas or other legal process as required by law</li> <li>• To Schwab Institutional</li> </ul> <p><b><u>Our Security Policy.</u></b> Only those individuals who need it to perform their jobs are authorized to have access to confidential Client information. We maintain physical, electronic, and procedural security measures that comply with applicable state and federal regulations to safeguard confidential Client information.</p> <p><b><u>Closed or Inactive Accounts.</u></b> If you decide to close your account(s) or become an inactive customer, we will adhere to the privacy policies and practices as described in this notice.</p> <p><b><u>Changes to this Privacy Policy.</u></b> If we make any substantial changes in the way we use or disseminate confidential information, we will notify you.</p>	