

Business Continuity Overview:

CGO Wealth Management LLC is dedicated to protecting the interests of our clients in the event of an emergency or Significant Business Disruption (SBD). The CGO Wealth Management LLCs Business Continuity Plan Disclosure summarizes our efforts to lessen the risks with unexpected business interruptions. Our business continuity plan allows us to meet our existing obligations to our clients even in the event of an emergency or significant business disruption, but it is not infallible. The plan is designed to address and respond to many different emergency conditions. Such events, by nature, are unpredictable and therefore it is not possible to anticipate every scenario and how it could cause a SBD. Since the timing and impact of disasters and disruptions are unpredictable, we will have to be flexible in responding to actual events as they occur. This summary and our business continuity plan are subject to modification and a copy of this summary may be requested via mail or accessed on our web site.

We plan to quickly recover and resume business operations after a significant business disruption by safeguarding our employees and property, making a financial and operational assessment, protecting the Books & Records.

CGO Wealth Management LLC

Contacting us:	Alternate phone number	847-275-9996	Alternate Email	CGOEmergency1@gmail.com
	Alternate phone number #2	847-849-7318	Alternate Email #2	CGOEmergency2@gmail.com

The web site will be updated with emergency contact information for our customers: www.CGOWEALTH.com In case our server is down the email addresses will be used in an emergency.

Communication with Our Employees in the Event of a Disruption:

The safety and well being of our employees is a vital concern. In the event of an emergency or SBD, the firm will communicate with its employees in several different ways. We use a combination of general broadcasts and phone trees. General information such as office closures and operating hours should be posted on the firm's website.

Our Business Continuity Plan:

Our business continuity plan addresses: data backup and recovery, all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our clearing firms back up their important records in a geographically separate location. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firms that its objective is to restore its own operations and be able to complete existing transactions and accept transactions and payments as soon as possible. Your orders and requests for funds and securities could be delayed during this period.

While no business continuity plan can eliminate all risk or delay resulting from an unexpected interruption in service, we continually assess, update and test our plans to ensure that we have taken the necessary steps to protect our clients.

If you have questions about our business continuity planning, you can contact Claude Ohanesian at 847-964-9097 or Claude@cgowealth.com

share information with any unaffiliated third parties. An "opt-in" requires the investment adviser to obtain from its customers and consumers a signed statement in which the person makes an affirmative declaration of permission to disclose such information. Without this affirmative affirmation from the person, investment advisers are prohibited from sharing this information with non-affiliated third parties.

Policies and Procedures
To guard against the use of
Insider Information

CGO Wealth Management does not in its normal course of business receive or create investment information that could be of any unusual value or advantage with regard to investing in the securities markets. The trading activities that may result from any recommendations provided by this firm are modest in size and in equities whose capitalization is of such a larger scale that those recommendations cannot feasibly have any effect on market prices. CGO Wealth Management is fully aware that the use of non-public / insider information is strictly forbidden and that using such information can result in prosecution, fines and imprisonment.

If, for any reason now unforeseen, such information were to come to the notice of the firm:

- 1) the information would be kept highly confidential, notations made to that effect,
- 2) the information would be filed in a secure and private location,
- 3) the information would not be acted upon by Claude Ohanesian for his own account(s) or for those of any near relatives and
- 4) the information would be brought to the attention of the visiting regulatory auditor for review.

CGO maintains on its premises records of all trading activities executed for its own accounts as well as those of its clients. Such records will be made available to the regulator upon request.

Claude Ohanesian is the only access person; records are kept secure and confidential from other persons by means of:

- ✓ locked doors
- ✓ locked file cabinets
- ✓ security passwords on computer(s)
- ✓ burglar alarms
- ✓ fire alarms
- ✓ fire extinguishers : ceiling & manual

The above policy and procedures statement has been read and accepted by :

Name Claude Ohanesian

on 12/4/12
date

Reviewed by : 

on 12/4/2012