

FORM ADV

Uniform Application for Investment Adviser Registration

Part II - Page 1

OMB APPROVAL	
OMB Number:	3235-0049
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Name of Investment Adviser: Aequus Wealth Management Resources, LLC				
Address: (Number and Street)	(City)	(State)	(Zip Code)	Area Code: Telephone Number:
303 West Erie Street, Suite 311	Chicago	IL	60654	(312) 664-4090

**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.

Applicant: Aequus Wealth Management Resources, LLC	SEC File Number: 801-41118	Date: 06/15/2010
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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 **90%**
- (2) Manages investment advisory accounts not involving investment supervisory services %
- (3) Furnishes investment advice through consultations not included in either service described above **2%**
- (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 **8%**
- (8) Provides a timing service %
- (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)

- (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

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

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

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 checked="" 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 type="checkbox"/> Company press releases |
| (4) <input type="checkbox"/> Corporate rating services | (8) <input 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 type="checkbox"/> Margin transactions |
| (2) <input checked="" type="checkbox"/> Short term purchases
(securities sold within a year) | (6) <input 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 | |

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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)

- 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
 - (2) investment company
 - (3) other investment adviser
 - (4) financial planning firm
 - (5) commodity pool operator, commodity trading adviser or futures commission merchant
 - (6) banking or thrift institution
 - (7) accounting firm
 - (8) law firm
 - (9) insurance company or agency
 - (10) pension consultant
 - (11) real estate broker or dealer
 - (12) entity that creates or packages limited partnerships

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.)

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

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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.)

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 *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.

SEE SCHEDULE F

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

SEE SCHEDULE F

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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:
- | | | |
|---|------------------------------|--|
| (1) securities to be bought or sold? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| (2) amount of the securities to be bought or sold ? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| (3) broker or dealer to be used ? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| (4) commission rates paid? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |

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

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
- B. directly or indirectly compensates any person for client referrals? Yes No

(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 Form ADV Continuation Sheet for Form ADV Part II	Applicant: Aequus Wealth Management Resources, LLC	SEC File Number: 801-41118	Date: 06/15/2010
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1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Aequus Wealth Management Resources, LLC	IRS Empl. Ident. No.: 36-3813933
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Item of Form (identify)	Answer
ADV PART II Item 1(D)	<p>Aequus Wealth Management Resources, LLC (Aequus), provides investment advisory services, financial planning and other financial services to individuals, trusts, estates, qualified plans and corporations.</p> <p>Under an Investment Advisory Agreement, Aequus will review the client's current portfolio and make recommendations as to the appropriateness of current holdings to meet the client's needs and objectives. Aequus will provide the client with a written investment policy and make asset allocation recommendations appropriate to meet the client's personal financial goals and objectives with the time horizon and risk tolerance established with the client. The investment advisory service is continuous and based on the individual needs of the client.</p> <p>Investment recommendations must be approved by the client prior to implementation. No load mutual funds, closed end funds, exchange traded funds, separately managed accounts or other discount commissioned investments may be used. Aequus does not vote proxies on behalf of clients.</p> <p>Aequus may recommend that clients establish brokerage accounts with the Schwab Institutional division of Charles Schwab & Co., Inc. (Schwab), a registered broker-dealer, Member SIPC/NYSE, to maintain custody of clients' assets and to effect trades for their accounts. Aequus does not share in any commissions or fees charged by Charles Schwab & Co., Inc. For accounts over \$1 million in assets, other custodial arrangements may be made instead of Charles Schwab & Co., Inc. (e.g., Northern Trust Company and Lincoln Trust Company). Aequus receives no commissions for these alternative arrangements.</p> <p>The annual asset management fee is 1% of the market value of the assets under management up to \$1,000,000, 0.75% of the next \$1,500,000 of assets, and 0.50% of any assets over \$2,500,000. Fees are calculated and payable quarterly in arrears and will be based on account asset values on the last business day of the previous quarter. The values used are the market price at the close of the market on the last business day of March, June, September and December. Prices are provided by the custodian or outside pricing services. Clients are billed on the last business day of April, July, October and January. This fee is not negotiable. The minimum amount of assets under management is \$500,000 with a minimum fee of \$5,000, but the minimum may be waived at Aequus' discretion if the client utilizes other services of Aequus.</p> <p>Investment advisory agreements may be terminated at any time by either party, without the payment of a penalty, upon written notice to the other party. No further fees will be deducted from the client's accounts after receipt of the written</p>

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

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1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Aequus Wealth Management Resources, LLC	IRS Empl. Ident. No.: 36-3813933
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Item of Form (identify)	Answer
	<p>notice. There is no refund of asset management fees as Aequus bills those fees in arrears after the analysis and recommendations have been made.</p> <p>Aequus provides comprehensive financial planning, typically covering analysis of assets and liabilities, retirement planning, income tax planning, estate planning, risk management, education funding, charitable planning and cash management planning. The client agrees to complete questionnaires and provide other relevant information. The client will be provided with a written plan that describes the current situation, identifies needs and opportunities and makes specific recommendations designed to accomplish the client's goals and objectives.</p> <p>Fees are based on the number of hours anticipated to gather and analyze the data, and prepare the written plan. The hourly rate is \$225.00 per hour. Fees range from \$2,500 to \$10,000 per plan. A fee is quoted prior to beginning the planning process. One half of the fee is requested to begin planning and the balance at the completion and delivery of the plan. The fee generally is not negotiable. Financial plans are delivered less than six months after the receipt of the initial payment.</p> <p>The client may terminate the contract within five days and receive a full refund. Should a client terminate after five days but before completion of the plan, all fees paid in advance will be refunded less actual costs attributable to work done on the plan equal to \$225.00 per hour.</p> <p>At Aequus' discretion, financial advisory services may be provided that would be less than a comprehensive financial plan (i.e., portfolio analysis, retirement planning, etc.) in which case, the fee would be billed at \$225.00 per hour at the completion of the services requested.</p> <p>For all investment advisory services, Aequus' fees are separate and distinct from management fees and other expenses charged by mutual funds which may be recommended to advisory clients. A complete description of these fees and expenses is available in each fund's prospectus.</p> <p>Because mutual funds pay advisory fees to their investment advisers and such fees are therefore indirectly charged to all holders of mutual fund shares, clients with mutual funds in their portfolios are effectively paying both Aequus and the mutual fund adviser for the management of their assets. Clients who place mutual fund shares under Aequus' management are therefore subject to both Aequus' direct management fee and the indirect management fee of the mutual fund's adviser.</p>

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

Schedule F Form ADV Continuation Sheet for Form ADV Part II	Applicant: Aequus Wealth Management Resources. LLC	SEC File Number: 801-41118	Date: 06/15/2010
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1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Aequus Wealth Management Resources, LLC	IRS Empl. Ident. No.: 36-3813933
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Item of Form (identify)	Answer
ADV PART II Item 4B(7)	Members of Aequus may on occasion present seminars. Aequus subscribes to a number of online sources of analysis of economic data, asset allocation models, evaluation of mutual funds, ETFs, separate account managers and other investments.
ADV PART II Item 4C(7)	The Aequus investment process is founded on MPT (Modern Portfolio Theory) and research from Behavioral Finance. The process incorporates client needs, resources, time horizon, risk tolerance and past experience with the design of an asset allocation that is dynamic in nature rather than static. However, this does not mean that Aequus advocates short term market timing. Active management of tactical allocations is made from time to time based on compelling market dislocations and/or longer term economic trends. While Aequus believes that financial markets are efficient most of the time and that it is difficult, if not impossible, to “beat” the market, occasionally the market offers exceptional opportunities. On such occasions, allocations will be adjusted to capture a portion of the return from these opportunities. Aequus utilizes computer software and commercial databases to perform technical analysis and as aids in measuring the level of risk and return in the client’s portfolio and provides guidelines to choosing more efficient asset mixes to achieve the individual client’s financial goals. An Investment Policy Statement is prepared in conjunction with each client to achieve the client’s goals and objections.
ADV PART II Item 5	Individuals affiliated with Aequus who are involved in determining or giving investment advice to clients must demonstrate, by education (college degree, C.P.A., CFP™, C.L.U., JD or M.B.A.) and experience (years in particular field of expertise) that they are qualified to render investment advice. CFP™ and CERTIFIED FINANCIAL PLANNER™ are certification marks owned by the Certified Financial Planner Board of Standards, Inc. These marks are awarded to individuals who successfully complete the CFP Board’s initial and ongoing certification requirements.
ADV PART II Item 6	Cicily C. Maton received a B.A. in Applied Behavioral Science from National Lewis University and is a CERTIFIED FINANCIAL PLANNER™. Since 1984, Ms. Maton has been in the financial services industry; as a Vice President of Winthrop Securities and then in her own firm. As of August 1995, Ms. Maton’s NASD license is voluntarily inactive. Prior to that, she was affiliated with the following broker/dealers: MTL Equities, Inc. (2/94-8/95), Securities

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Schedule F Form ADV Continuation Sheet for Form ADV Part II	Applicant: Aequus Wealth Management Resources, LLC	SEC File Number: 801-41118	Date: 06/15/2010
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1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Aequus Wealth Management Resources, LLC	IRS Empl. Ident. No.: 36-3813933
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Item of Form (identify)	Answer
ADV PART II Item 7(A)	<p>America, Inc. (1/92-2/94), Kavanaugh Securities, Inc. (9/90-1/92) and Long Grove Trading Company (3/86-9/90).</p> <p>In 1987, Ms. Maton started her own firm, Affiliated Planners Group. The firm's name changed in 1992 to Aequus Financial Advisory Services when Ms. Maton went into partnership with her daughter, Michelle. The name was changed as of January 1, 1999, to Aequus Wealth Management Resources. As of September 13, 2004, the partnership was converted to a limited liability company.</p> <p>Prior to entering the financial services industry, Ms. Maton was president of her own public relations firm, serving clients in government relations, public affairs and fund raising.</p> <p>Michelle L. Maton received a B.A. in Drama from Stanford University and is a CERTIFIED FINANCIAL PLANNER™. Ms. Maton is also an Accredited Tax Preparer and an Accredited Tax Advisor and is enrolled to practice before the Internal Revenue Service.</p> <p>In 1990, Ms. Maton began working with Cicily Carson Maton in her business, then called Affiliated Planners Group. In 1992, she became a partner in that business whose name was Aequus Financial Advisory Services (now Aequus Wealth Management Resources, LLC). Prior to that, Ms. Maton worked for five years with Pihl, Gutierrez, Garretson & Roberts, Inc., a pension consulting firm in San Jose, CA, as a pension consultant and trust accountant and as a specialist in 401(k) plans.</p> <p>Aequus provides consulting for clients who use the Quicken accounting software for cash management. The fee is \$225 per hour, payable following service. This service includes entering transactions, reconciling statements and printing reports. For those clients with more than \$1,000,000 in assets under management, this service is offered at no additional charge. This service does not include paying bills or otherwise having access to client funds.</p> <p>Aequus prepares tax returns for selected clients. The fee is based on the number of forms needed to complete the return and is payable at the completion of the return. Fees are \$200.00 for Form 1040 and one state form and \$25.00 for each schedule in addition to Form 1040. There is a \$100.00 charge for each Form K-1, an additional charge for multiple state returns and a \$50.00 charge for estimated tax calculations. For those clients with more than \$1,000,000 in assets under management, this service is offered at no additional charge for one personal</p>

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1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Aequus Wealth Management Resources, LLC	IRS Empl. Ident. No.: 36-3813933
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Item of Form (identify)	Answer
ADV PART II Item 8(C)(3) ADV PART II Item 9(E)	<p>federal and one personal state return. If assets under management go below \$1,000,000, the normal fee will be charged for tax preparation.</p> <p>Aequus advises individuals who are in the process of divorce on the financial aspects of divorce. A specialized advisory service documenting the economic criteria relevant in the dissolution of marriage is provided. The fee is \$225.00 per hour. A retainer of \$2,000 is requested. Clients are provided with itemized bills monthly. A client may cancel at any time and be responsible only for expenses incurred to that point.</p> <p>Cicily C. Maton and Michelle L. Maton spend no more than 25% of their time on these additional services.</p> <p>Aequus has a material relationship with Gannett Welsh & Kotler LLC, SEC file number 801-121942. Specifically, Aequus has entered into a subadvisory relationship with such outside advisor.</p> <p>Aequus has adopted a written Code of Ethics in compliance with SEC rule 204A-1. The code sets forth standards of conduct and requires compliance with federal securities laws. Our code addresses personal trading and requires personnel to report their personal securities holdings and transactions to the Chief Compliance Officer of the firm. Aequus will provide a copy of its Code of Ethics to any client or prospective client upon request.</p> <p>It is further noted that Aequus is in and shall continue to be in total compliance with The Insider Trading and Securities Fraud Enforcement Act of 1988. Specifically, Aequus has adopted a firm wide policy statement outlining insider trading compliance by Aequus and its associated persons and other employees. This statement has been distributed to all associated persons and other employees of Aequus and has been signed and dated by each such person. A copy of such firm wide policy is left with such person and the original is maintained in a master file. Further, Aequus has adopted a written supervisory procedure statement highlighting the steps which shall be taken to implement the firm wide policy. These materials are also distributed to all associated persons and other employees of Aequus, are signed, dated and filed with the insider trading compliance materials. There are provisions adopted for (1) restricting access to files, (2) providing continuing education, (3) restricting and/or monitoring trading on those securities of which applicant's employees may have non-public information, (4) restricting purchases of initial public offerings and private offerings by the applicant's employees, (5) requiring all of applicant's employees to conduct their trading through a specified broker or reporting all transactions</p>

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1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Aequus Wealth Management Resources, LLC	IRS Empl. Ident. No.: 36-3813933
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ADV PART II Item 10	<p>promptly to applicant, and (6) monitoring the securities trading of the firm and its employees and associated persons.</p> <p>Aequus or individuals associated with Aequus may buy or sell securities identical to those recommended to clients for their personal accounts. It is the expressed policy of Aequus that no person employed by Aequus may purchase or sell any security prior to a transaction(s) being implemented for an advisory account, and therefore, preventing such employees from benefiting from transactions placed on behalf of advisory accounts. Aequus or any related person(s) may have an interest or position in a certain security(ies) which may also be recommended to a client.</p> <p>As these situations may represent a conflict of interest, Aequus has established the following restrictions in order to ensure its fiduciary responsibilities:</p> <ol style="list-style-type: none"> 1. A partner or employee shall not buy or sell securities for their personal portfolio(s) where their decision is substantially derived, in whole or in part, by reason of his or her employment unless the information is also available to the investing public on reasonable inquiry. No associated person of Aequus shall prefer his or her own interest to that of the advisory client. 2. Aequus maintains a list of all securities holdings for itself, and anyone associated with this advisory practice with access to advisory recommendations. These holdings are reviewed on a regular basis by an appropriate partner of Aequus. 3. All clients are fully informed that certain individuals may receive separate compensation when effecting transactions during the implementation process. 4. Aequus emphasizes the unrestricted right of the client to decline to implement any advice rendered. 5. Aequus requires that all individuals must act in accordance with all applicable Federal and State regulations governing registered investment advisory practices. 6. Any individual not in observance of the above may be subject to termination. <p>Aequus provides investment advisory services and provides financial planning. The minimum dollar value of assets for starting or maintaining an asset management account is \$500,000, although Aequus may accept accounts of less than \$500,000. There is no minimum account size for financial planning. Current clients with account balances of less than \$500,000 will receive a different service. Specifically, such accounts will receive an annual report and meeting. Aequus is available for telephone calls throughout the year and will run reports</p>

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Item of Form (identify)	Answer
ADV PART II Item 11(A)	<p>on request. The fee for this service is 1% of the assets under management. Fees are calculated and payable quarterly in arrears and will be based on account asset values on the last business day of the previous quarter. Employees of Aequus do not pay a fee for investment advisory services.</p> <p>Investment advisory accounts are continuously monitored and reviewed periodically (more frequently if investment activity warrants) to determine if the recommended portfolios are meeting expectations. Triggering factors include interest rate changes, market fluctuations and changes in client situation. More thorough analysis is undertaken periodically to determine that investments in each account are consistent with objectives and restrictions of each client's account.</p> <p>Financial planning clients are reviewed at least annually to assure that the plan recommendations are on track. Continuous monitoring of securities for these clients is not provided.</p> <p>Both principals of Aequus, Cicily C. Maton and Michelle L. Maton, may review all accounts.</p>
ADV PART II Item 11(B)	<p>Asset management clients are provided with periodic (at least quarterly) reports. Clients with assets under the minimum are provided with annual reports. All clients have reports posted to the secure client portion of the Aequus web site weekly. The detail and complexity of the reporting will depend on the activity of the portfolio and the needs and asset level of the client. The reports may include the current value of the portfolio, a listing of the securities in the portfolio, activity in the portfolio and the time-weighted and internal rate of return for the portfolio.</p> <p>Financial planning clients only receive reports upon completion of the plan or completion of a plan update.</p>
ADV PART II Item 12(B)	<p>Michelle L. Maton is licensed to sell life and health insurance. On occasion, Aequus may refer a client to an outside agent, affiliated with an insurance company. Commissions may be earned on those sales by those outside agents. Aequus will receive no commissions associated with any insurance sale. The receipt of this compensation would not affect Aequus' judgment in recommending insurance to its clients. Clients are not obligated to use insurance agents recommended by Aequus or to implement insurance policies recommended by those agents. Implementation of any or all recommendations is solely at the discretion of the client.</p> <p>Aequus may recommend that clients establish brokerage accounts with the Schwab Institutional division of Charles Schwab & Co., Inc. (Schwab), a</p>

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

Schedule F Form ADV Continuation Sheet for Form ADV Part II	Applicant: Aequus Wealth Management Resources, LLC	SEC File Number: 801-41118	Date: 06/15/2010
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1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Aequus Wealth Management Resources, LLC	IRS Empl. Ident. No.: 36-3813933
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Item of Form (identify)	Answer
ADV PART II Item 13(A)	<p>registered broker-dealer, Member SIPC/NYSE, to maintain custody of clients' assets and to effect trades for their accounts. Aequus receives benefits from that relationship it would not receive if it did not offer investment advice. Please refer to Item 13(A) of Schedule F.</p> <p>Aequus does not have the discretionary authority to determine the broker or dealer to be used. If a client directs Aequus to use a broker dealer other than Charles Schwab & Co., Inc., Aequus reserves the right to not enter into an advisory contract with that client if Aequus believes that the use of that broker would interfere in Aequus' ability to provide advisory services to all of its clients. If a client directs Aequus to use a particular broker or dealer, Aequus may not be able to obtain best execution and volume discounts, and a disparity in commission charges may then exist among clients. Certain mutual funds recommended by Aequus may not be available through a client's directed broker-dealer.</p> <p>Aequus does not block trades for clients nor do employees participate in any block trades with clients.</p> <p>From time-to-time Aequus may make an error in submitting a trade order on the client's behalf. When this occurs, Aequus may place a correcting trade with the broker-dealer which has custody of the client's account. If an investment gain results from the correcting trade, the gain will remain in the client's account unless the same error involved other client account(s) that should also have received the gain, it is not permissible for the client to retain the gain, or Aequus confers with the client and the client decides to forego the gain (e.g., due to tax reasons). If the gain does not remain in the client's account and Charles Schwab & Co. Inc. ("Schwab") is the custodian, Schwab will donate the amount of any gain \$100 and over to charity. If a loss occurs greater than \$100, Aequus will pay for the loss. Schwab will maintain the loss or gain (if such gain is not retained in the client's account) if it is under \$100 to minimize and offset its administrative time and expense. Generally, if related trade errors result in both gains and losses in the client's account, they may be netted.</p> <p>Aequus may recommend that clients establish brokerage accounts with the Schwab Institutional division of Charles Schwab & Co., Inc. (Schwab), a registered broker-dealer, Member SIPC/NYSE, to maintain custody of clients' assets and to effect trades for their accounts. Aequus is independently owned and operated and not affiliated with Schwab. Schwab provides Aequus with access to its institutional trading and custody services, which are typically not available to Schwab retail investors. These services generally are available to independent investment advisors on an unsolicited basis, at no charge to them so long as a</p>

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Schedule F Form ADV Continuation Sheet for Form ADV Part II	Applicant: Aequus Wealth Management Resources. LLC	SEC File Number: 801-41118	Date: 06/15/2010
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1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Aequus Wealth Management Resources, LLC	IRS Empl. Ident. No.: 36-3813933
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Item of Form (identify)	Answer
	<p>total of at least \$10 million of the advisor's clients' account assets are maintained at Schwab Institutional, and are not otherwise contingent upon Aequus committing to Schwab any specific amount of business (assets in custody or trading). Schwab's services include research, brokerage, custody, access to mutual funds and other investments that are otherwise generally available only to institutional investors or would require a significantly higher minimum initial investment.</p> <p>For Aequus' client account maintained in its custody, Schwab generally does not charge separately for custody but is compensated by account holders through commissions or other transaction-related fees for securities trades that are executed through Schwab or that settle into Schwab accounts.</p> <p>Schwab also makes available to Aequus other products and services that benefit Aequus but may not benefit its clients' accounts. Some of these other products and services assist Aequus in managing and administering clients' accounts. These include software and other technology that provide access to client account data (such as trade confirmations, account statements and the daily download of prices and transactions); facilitate trade execution (and allocation of aggregated trade orders for multiple client accounts); provide research, pricing information and other market data; facilitate payment of Aequus' fees from its clients' accounts; and assist with back-office functions, record keeping and client reporting. Many of these services generally may be used to service all or a substantial number of Aequus' accounts, including accounts not maintained at Schwab Institutional. Schwab Institutional also makes available to Aequus other services intended to help Aequus manage and further develop its business enterprise. These services may include consulting, publications and conferences on practice management, information technology, business succession, regulatory compliance, and marketing. In addition, Schwab may make available, arrange and/or pay for these types of services rendered to Aequus by independent third parties. Schwab Institutional may discount or waive fees it would otherwise charge for some of these services or pay all or a part of the fees of a third-party providing these services to Aequus. While as a fiduciary, Aequus endeavors to act in its clients' best interests, and Aequus' recommendation that clients maintain their assets in accounts at Schwab may be based in part on the benefit to Aequus of the availability of some of the forgoing products and services and not solely on the nature, cost or quality of custody and brokerage services provided by Schwab, which may create a potential conflict of interest.</p>

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