

Attachment A: CGIS Securities LLC's Business Continuity Planning

CGIS Securities LLC ("CGIS" or "Firm") has developed a Business Continuity Plan with the protocols required by law to confront events that may significantly disrupt our business. However, since the timing and impact of disasters and disruptions are unpredictable, we are always ready to adapt and improvise critical solutions responding to real life situations. Our principles dictate that in an emergency we give top priority to the physical wellbeing of the people and the protection of our client's financial assets and confidential information.

Contacting Us — After a significant business disruption event you should call our main-office telephone, (305)507-4544, or go to our website for guidance. If you cannot contact us through either mean, you should contact our clearing firm, Pershing LLC ("Pershing"), at (201) 413-3635 or www.pershing.com. Pershing, LLC will provide you with instructions on how to access your funds and securities, including: entering orders, confirming orders, and processing other service-related and money transfer transactions.

Our Business Continuity Plan — Our goal when confronted with a significant business disruption event is to recover and renew operations as soon as possible. Our Protocols include safeguards for protecting our employees and property, assessing financial and operational capabilities, protecting the Firm's books and records, and providing access to our customers' assets and transactional ability.

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 and operations; contact with critical suppliers, contractors, banks, and counterparties; regulatory reporting; and assuring our customers prompt access to their funds and securities even if we are unable to recover.

We have redundancy in our critical functions. Pershing, LLC, backs up our important records electronically in a different geographical area. While every emergency-situation poses unique problems depending on its nature, time, and severity, CGIS is confident that in most cases, our clearing firm will be able to restore its own operations, complete transactions and accept new transactions and payments within 4 hours from the time of disruption. Your orders and requests for funds and securities could be delayed during this period.

Varying Disruptions — In our case, a significant business disruption event can affect only our Firm's office, the building housing our Firm, the business district where our head office is located, the city where we are located, or the entire region (South Florida, State of Florida, and the SE region of the United States). Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our Firm or a building housing our Firm, we will transfer our operations to a local site when necessary and expect to recover and resume business within hours during a normal market day, or the next business day. A major disruption affecting our business district, city or region, may force us to transfer our operations to a site outside of the affected area, and recover and resume business within a period of 48 to 72 hours.

In any case, if confronted with a significant business interruption situation, we will continue servicing your needs directly from a different location or by transferring control to our clearing firm. We will make our best effort to notify you of such emergency through our website or our customer emergency number, (305) 507-4544. If the significant business disruption is so severe that it prevents us from recovering within a reasonable period, our customer will have prompt access to their funds and securities through our clearing firm.

For more information — If you have questions about our business continuity planning, you can contact our Chief Compliance Officer jrodriguez@cgissecurities.com