



PRIVACY STATEMENT AND ADDITIONAL DISCLOSURES

PRIVACY STATEMENT

The Strategic Financial Alliance, Inc. ("SFA") appreciates the trust you place in us, and we respect your right to privacy. We are committed to safeguarding the personal information you entrust to us.

At SFA we believe that it is important you understand the uses and safeguarding of your personal information.

SFA receives information:

- From paperwork you provide such as Client Account Forms and product applications;
- From conversations, discussions and interviews; and
- From product or service vendors, as a result of your transactions with SFA.

At SFA we:

- Maintain all client records in a secured environment;
- Protect computer programs through physical and electronic safeguards; and
- Limit access to your personal information to responsible employees who require access to that information in order to act on your behalf.

SFA may disclose certain types of information to qualified entities that perform administrative services on our behalf, and as required or permitted by law for legal or regulatory purposes. The information that falls within this category is:

- Information provided by you on Client Account Forms and product applications;
- Information provided by product or service vendors, as a result of your transactions with SFA.

The parties to whom we may share your personal information include:

- Entities that perform services for us or function on our behalf, including financial service providers, such as a clearing broker-dealer, investment company, or insurance company;
- Third parties that perform services on our behalf;
- Your attorney, trustee or anyone who represents you in a fiduciary capacity;
- Our attorneys, accountants or auditors; and
- Government entities or other third parties in response to subpoenas or other legal process as required by law or to comply with regulatory inquiries.

SFA maintains physical, electronic and procedural safeguards to help ensure that your personal information is safe and accessed only according to these policies, and we will continue to make safeguarding your privacy our highest priority. These safeguards we have implemented are intended to:

- insure the security and confidentiality of client records and information;
- protect against any anticipated threats or hazards to the security or integrity of such records; and
- protect against unauthorized access to or use of such records or information which could result in substantial harm or inconvenience to any client.

If you decide to close your SFA account(s), we will continue to safeguard your personal information. SFA will destroy the confidential information of former clients in a secure manner (including shredding, burning, processing through a secure recycling facility, etc.) to ensure the continued confidentiality of that information after record retention periods expire.

SFA provides training to its representatives, who are obligated to take reasonable steps to protect, safeguard and properly dispose of personal information about you.

Should the SFA representative who services your account leave us to join another firm, we will permit that representative to retain non-public personal information about you so that he or she can assist with the transfer of your account and continue to serve your needs at the new firm, if you so choose. The representative's continuing use of information about you will be subject to the privacy policy of his or her new firm.

You have a right to "opt out" of our permitting your SFA representative to retain non-public personal information about you when he/she leaves us to join another firm. If you do not want us to permit the representative to retain such information, you may contact our Compliance Department at the following address:

The Strategic Financial Alliance
Compliance Department: Privacy
2200 Century Parkway, Suite 500
Atlanta, GA 30345

If you should have any questions regarding any aspect of this Privacy Statement, please feel free to call our Compliance Department at 678.954.4000.

SFA BUSINESS CONTINUITY PLAN AND OTHER IMPORTANT DISCLOSURES

- Available at SFA's website (www.thesfa.net) under the tab "Client Center", "Policies", is SFA's business continuity plan which was developed to explain how SFA will respond to events that significantly disrupt our business.
- Also available under "Client Center", "Policies" are important disclosure documents titled *SFA's Revenue Sharing Policy* and *SFA's Order Routing and Trade Execution Policy*.

FORM ADV PART 2A

- To view SFA's Form ADV Part 2A and Appendix 1, visit SFA's website (www.thesfa.net), press the tab "Client Center", and click on "Policies" for a listing of these documents.

SIPC

- SFA is a member of SIPC (Securities Investor Protection Corporation). You can obtain more information about SIPC, including the SIPC brochure either by visiting their web site www.sipc.org or by calling (202) 371-8300.