



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;
- Affiliated entities which provide services directly to you or which provide services to us;
- 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:

- ensure 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 (your "Financial Advisor") leave us to join another firm, we will permit the Financial Advisor 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. Your Financial Advisor'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 Financial Advisor 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 your Financial Advisor 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 your Financial Advisor is also an Investment Adviser Representative of Strategic Blueprint, LLC, an affiliate of SFA, he or she will offer advisory products and services to you through Strategic Blueprint. SFA has a regulatory obligation to supervise certain activities of its registered persons, including those conducted through Strategic Blueprint. Accordingly, associated persons of both Strategic Blueprint and SFA who have supervisory responsibilities will have access to your transaction and profile information for review purposes. Your Financial Advisor will also use information obtained from you through SFA in helping you complete required forms and documents, and in formulating recommendations and advice provided to you through Strategic Blueprint. Likewise, your Financial Advisor will use information obtained from you through Strategic Blueprint to inform recommendations for products and services offered through SFA.

SFA does not otherwise share your information with affiliates and non-affiliated third parties for marketing purposes.

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

You will receive a copy of this Privacy Statement on an annual basis. Additionally, if we change our privacy policy as described herein, you will receive a revised Policy Statement.

ADDITIONAL DISCLOSURES

ELECTRONIC DELIVERY OF INFORMATION

- If you send personal, non-public information to your Financial Advisor via e-mail, please use only secure and/or encrypted e-mail.
- If you have any doubts about the authenticity of an e-mail purportedly sent by SFA or your Financial Advisor, please contact your Financial Advisor immediately, or call our Compliance Department at 678.954.4000.

FINRA PUBLIC DISCLOSURE PROGRAM

- SFA is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA").
- FINRA's BrokerCheck allows the public to obtain current regulatory information about FINRA member firms and financial advisors.
- You may access more information, including an investor brochure that includes information describing FINRA BrokerCheck, by calling the BrokerCheck hotline at 800-289-9999 or by visiting its website at www.finra.org/brokercheck.

FORM ADV PART 2A DISCLOSURE BROCHURE

- To view SFA's Form ADV Part 2A and Appendix 1, visit SFA's website (www.thesfa.net), press the tab "Disclosures" at the bottom of the Home Page for a listing of documents.

SFA BUSINESS CONTINUITY AND OTHER IMPORTANT DISCLOSURES

- Available at SFA's website (www.thesfa.net) under the tab "Disclosures", is SFA's *Business Continuity Disclosure* which explains how SFA will respond to events that may significantly disrupt our business.
- Also available under "Disclosures" are important disclosure documents titled *SFA's Revenue Sharing Policy* and *SFA's Order Routing and Trade Execution Policy*.

SIPC

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

MSRB Regulatory Notice 2017- 03 Disclosure

- The Strategic Financial Alliance Inc. (SFA) is a regulated entity registered with the Municipal Securities Rulemaking Board (MSRB) and the Securities Exchange Commission (SEC).
- The MSRB's website is www.msrb.org.
- There is a brochure available on the MSRB website that describes the protections available under MSRB Rules and how to file a complaint with an appropriate regulatory authority.

SFA Partners

- SFA Partners provides shared services, including marketing, recruiting, human resources, accounting, and product due diligence, to SFA and its affiliates, Strategic Blueprint LLC and SFA Insurance Services, Inc. These companies are affiliated through common ownership.