

**The Strategic Financial Alliance, Inc. (“SFA”)** has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

SFA is an introducing broker-dealer operating through registered representatives who report to branch offices. All accounts opened through SFA are held and maintained at other institutions. Brokerage accounts through which stocks, bonds, options and mutual funds can be purchased, sold, or held and maintained are at the clearing firm, Pershing, LLC. Accounts opened directly with mutual fund companies, insurance companies and direct participation sponsors are held at those firms.

**Contacting Us** – SFA operates on a system under which each registered representative reports to an Office of Supervisory Jurisdiction (“OSJ”). Each OSJ manager, in turn, reports to the SFA main office. Because business disruptions vary in scope, in the event of a significant business disruption you can contact your representative, his OSJ manager, the SFA corporate office or the firm at which your account is held and maintained.

**The SFA corporate office can be reached at (678) 954-4000.** If you cannot access SFA through any of these means, you should contact the firm which holds and maintains your account. In the event of a significant business disruption, these companies will be able to continue to provide you with prompt access to your account, and process transactions as you may instruct. Contact telephone numbers of many key companies are included here.

**Our Business Continuity Plan** – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm’s books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data back up 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.

Pershing LLC and Reliance Trust Company, back up our important records in geographically separate areas. 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 firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within seventy-two hours. Your orders and requests for funds and securities could be delayed during this period.

**Varying Disruptions** – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. 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 needed and expect to recover and resume business within forty-eight hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within seventy-two hours. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through as the situation dictates. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customers’ prompt access to their funds and securities.

**More information** – If you have questions about our business continuity planning, you can contact us at (678) 954-4000.

The following is contact information for many of the companies that provide products and custody accounts. These contact numbers may change occasionally. We recommend you review your account statements and keep a list of the account numbers and contact information provided there.

**BROKERAGE ACCOUNT/CLEARING FIRM**

PERSHING LLC	201-413-2000
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**MUTUAL FUNDS**

1	AIM FUNDS	800-347-1919	26	FRANKLIN TEMPLETON FUNDS	800-462-1264
2	ALGER FUNDS	800-992-3863	27	FREMONT FUNDS	800-548-4539
3	ALLIANCE FUNDS	800-523-5695	28	GABELLI FUNDS	800-422-2274
4	AMERICAN FUNDS	800-421-9900 X11	29	HARBOR FUNDS	800-422-1050
5	AMERICAN CENTURY FUNDS	816-340-3022	30	HARTFORD FUNDS	800-523-7796
6	AMERICAN SKANDIA FUNDS	800-752-6342	31	IDEX FUNDS	800-851-7555
7	ARIEL FUNDS	800-292-7435	32	ING FUNDS	877-464-3325
8	BABSON/TAMARACK FUNDS	800-422-2766	33	INVESCO FUNDS	800-328-2234
9	BLACKROCK FUNDS	212-754-5300	34	KENSINGTON FUNDS	800-253-2949
10	CALVERT FUNDS	800-368-2750	35	MARSICO FUNDS	888-860-8686
11	CGM FUNDS	800-345-4048	36	MFS FUNDS	800-343-2829
12	CLIPPER FUNDS	800-433-0051	37	MUNDER FUNDS	800-438-5789
13	COHEN & STEERS FUNDS	800-330-7348	38	NEUBERGER & BERMAN FUNDS	800-877-9700
14	COLUMBIA FUNDS	800-345-6611	39	OAKMARK FUNDS	800-625-6275
15	DAVIS FUNDS	800-279-2279	40	OPPENHEIMER FUNDS	800-525-7040
16	DODGE & COX FUNDS	800-621-3979	41	PIMCO FUNDS	800-628-1237
17	DREYFUS FUNDS	800-373-9387	42	PIONEER FUNDS	800-622-9876
18	EATON VANCE FUNDS	800-225-6265	43	PUTNAM FUNDS	800-354-4000
19	ENTERPRISE FUNDS	800-432-4320	44	RYDEX FUNDS	800-820-0888
20	EVERGREEN FUNDS	800-225-2618	45	STRONG FUNDS	800-368-3863
21	FIRST EAGLE SOGEN FUNDS	800-334-2143	46	T ROWE PRICE FUNDS	800-638-5660
22	FEDERATED FUNDS	800-341-7400	47	THORNBURG FUNDS	800-847-0200
23	FIDELITY ADVISOR FUNDS	800-522-7297	48	VAN ECK FUNDS	800-221-2220
24	FIRST EAGLE FUNDS	800-334-2143	49	VAN KAMPEN FUNDS	800-421-5666
25	FPA FUNDS	800-982-4372	50	VANGUARD FUNDS	800-662-7447

**INSURANCE COMPANIES**

1	AIG	800-255-8402	6	MANULIFE	800-334-4437
2	AXA/EQUITABLE	888-517-9900	7	NATIONWIDE / BEST OF AM	800-321-6064
3	HARTFORD	800-523-7798	8	PACIFIC LIFE	800-722-2333
4	ING LIFE	800-344-6860	9	TRANSAMERICA	800-851-7555
5	JOHN HANCOCK	800-732-5543	10	WESTERN RESERVE LIFE	800-443-9975
6	LINCOLN BENEFIT LIFE	800-865-5237			

**DIRECT PARTICIPATIONS**

1	ATEL SECURITIES	800-543-2835	9	RAINIER OFFICE INVESTORS	866-726-8660
2	CAMPBELL STRATEGIC ALLOCATION FUND		10	REDWOOD MORTGAGE	800-659-6593
3	CNL FINANCIAL GROUP	800-522-3863	11	THE WILLOWBRIDGE FUND L.P.	888-546-3922
4	FUTURES PORTFOLIO FUND	800-726-3400	12	SAGE FUND LP TRAILS	800-726-3400
5	INLAND REAL ESTATE GROUP	800-824-8228	13	STEBEN & COMPANY	800-726-3400
6	MERIDIAN PARKSIDE INVESTORS I, LP	877-527-5229	14	WELLS REAL ESTATE FUNDS	800-448-1010
7	MEWBOURNE ENERGY PARTNERS	903-561-2900	15	WENATCHEE VALLEY MALL	877-472-7726
8	PDC SECURITIES INC	800-624-3821			