



Strategies Investment Management, LLC

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March 2012

This Brochure provides information about the qualifications and business practices of Strategies Investment Management, LLC. If you have any questions about the contents of this Brochure, please contact us at 303-926-9600 or info@strategies-llc.net. The information in this Brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Additional information about Strategies Investment Management, LLC also is available on the SEC's website at www.adviserinfo.gov.



Material Changes

On July 28, 2010, the United States Securities and Exchange Commission published “Amendments to Form ADV” which amends the disclosure document that we provide to clients as required by SEC Rules. This Brochure is a new document to meet the new requirements and rules.

There are no material changes from our previous Form ADV II.



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Advisory Business

Since its 2010 inception, Strategies Investment Management, LLC has been independently owned and not affiliated with any brokerage, insurance company, investment company, service provider, or other company. As a Limited Liability Company, Strategies Investment Management, LLC is owned by the Principals.

Strategies Investment Management, LLC's sole line of business is wealth management for individual, trusts and foundations. We simply do not operate any other business line outside of our core area of expertise. The services we offer are investment consulting and financial planning.

Strategies Investment Management, LLC works with clients to develop an investment solution based on their particular situation and account type. Such services may consist of asset allocation studies, investment policy statements, investment manager evaluations and searches, performance measurement, monitoring and reporting, fiduciary reviews and participant education and advice.



Fees and Compensation

Strategies Investment Management, LLC does not have a basic fee schedule. Each account is charged fees based on such factors as services provided, size of account and market environment. Fees are negotiable. Some clients may be charged more or less than other similar clients. Accounts may also be subject to minimum fees. Fees are based on the assets under advisement, project, retainer or some other mutually agreed upon method. Clients are billed in arrears on a quarterly basis.



Performance Based-Fees and Side-by-Side Management

Strategies Investment Management, LLC does not charge performance-based fees.



Types of Clients

Strategies Investment Management, LLC provides portfolio management services to individual, trusts and foundations.



Methods of Analysis, Investment Strategies and Risk of Loss

At Strategies Investment Management, LLC, we utilize a proprietary, state-of-the-art performance monitoring system to provide quarterly investment evaluations incorporating quantitative, as well as qualitative criterion. While the common misconception is to solely examine time period returns, we believe performance evaluation should incorporate a top-down analysis of the factors which *contribute* to the returns of a portfolio. For example, one should assess such varied items as a manager's asset and style allocation, market capitalization, credit quality and regional weightings among numerous others.

In addition, we review and implement (if necessary) a search for money managers – both from a fiduciary aspect and their appropriateness within a portfolio or menu of investment options. Each manager is initially analyzed upon passing strict search criteria and then periodically analyzed in a comprehensive due diligence process.

Overall, Strategies Investment Management, LLC takes a varied approach to investment manager evaluation and selection – quantitative and qualitative analysis. First of all, as with any prudent investment consulting organization, we maintain an extensive database of managers, indices, peer groups, etc. in order to perform numerous statistical evaluations. Employing this information is necessary to assess such items as absolute and relative performance, risk characteristics, holdings and style based analysis and so on. To be brief, this information is used to confirm what we uncover during the qualitative phase of the evaluation. Within the qualitative phase, we meet with the applicable people of an organization to evaluate and form an overall opinion of their investment strategies, clientele, personnel, fee structure, etc.

It is important to keep in mind that at Strategies Investment Management, LLC we do not use a specific formula for manager evaluation and selection. And while we do use in-depth statistical analysis within the framework of our evaluations, a good part of our analysis is centered on the investment manager organization as a whole. For example, if portfolio turnover has been increasing of late, is this due to a change in philosophy, cash flows, a change in management, etc.

In summation, our approach to manager evaluation incorporates the following elements: aligning the interests of our clients with the appropriate investment manager, defining appropriate objectives, recognizing our and our client's biases and the limitations of our tools, and promoting an awareness of the limitations of quantitative analysis.



Disciplinary Information

Neither, Strategies Investment Management, LLC nor any individual employed by the firm has ever been involved in any investigative, administrative, legal or regulatory matter.



Other Financial Industry Activities and Affiliations

Strategies Investment Management, LLC has a material relationship with an SEC registered investment advisory firm, Strategies, LLC. Strategies Investment Management, LLC has an agreement to use Strategies, LLC's infrastructure, operations, place of business, personnel, etc. Strategies, LLC is compensated for these resources.

Strategies Investment Management, LLC has engaged Kristi Sullivan with Sullivan Financial Planning, a State Registered Investment Advisor, to provide financial planning services for its clients on a per project basis. Ms. Sullivan charges Strategies Investment Management, LLC a retainer and on a per basis project for services. As required, Ms. Sullivan is disclosed in section 7a on schedule D of Form ADV, Part 1.

Strategies Investment Management, LLC does provide ancillary discretionary and non discretionary investment advisory services to Lincoln Trust Company and TD Ameritrade Trust Company. Strategies Investment Management has clients that use various services of these companies.



Code of Ethics

Our business is conducted with the highest level of ethical standards, keeping in mind at all times our fiduciary duties to our clients. We do not disclose personal information about our clients.

Any personal securities transactions, other than mutual funds, made by Strategies Investment Management, LLC and/or our employees are reviewed by our Compliance Officer. Personal transactions must be in compliance with the CFA Institute Code of Ethics and the Standards of Professional Conduct. Strategies Investment Management, LLC code of ethics is in our compliance manual. Our code of ethics is available upon request. All personal transactions, other than mutual funds, must be reported at the end of each calendar quarter.



Brokerage Practices

Charles Schwab Institution provides broker dealer services on the behalf of Strategies Investment Management, LLC clients. Charles Schwab Institutional is an independent third party custodian.



Review of Accounts

Strategies Investment Management, LLC reviews all accounts on a quarterly basis to ensure they continue to adhere to the client's customized Investment Policy Statement. Strategies Investment Management, LLC helps develop these Investment Policy Statements for each account. The specific goal and needs of each account is part of the Investment Policy Statement. We also perform on an annual basis an in-depth client account review.

A client of Strategies Investment Management, LLC also receives a monthly transaction and balance statement from their appropriate third-party custodian.

Our clients receive quarterly reports. The reports contain quarterly performance, risk statistics and style benchmarks of all managers within the account. Our ongoing research on managers generates this detailed report. Importantly, members of our Investment Committee and a Senior Consultant meet with clients face to face quarterly or semi-annually. Managers failing to meet their criteria within the Investment Policy Statement are discussed thoroughly.



Client Referrals and Other Compensation

Strategies Investment Management, LLC has incentive plans that reward employees and/or agents for client referrals. Any financial reward comes from our internal funds, NOT client accounts. The rewards may be in the form of a bonus, commission, flat dollar amount, or a percentage of our annual fee received from clients for services rendered.



Custody

Strategies Investment Management, LLC does not have custody of clients' funds.



Investment Discretion

Strategies Investment Management, LLC has discretionary authority of our client's investment decisions in adherence with each client's customized Investment Policy Statement. Investment decisions are made through our investment committee. Reviews detailing performance and transactions are delivered on a quarterly basis. The quarterly reports provide the client the opportunity to have full disclosure around any account transactions.



Voting Client Securities

Following is Strategies Investment Management, LLC's policy for voting proxy's where Strategies Investment Management, LLC has been specifically delegated this authority and responsibility.

1. Strategies Investment Management, LLC will vote proxies for the plan if so desired by the client. However, it is the burden of the client to deliver all proxies to Strategies Investment Management, LLC for voting, as proxies will be delivered to the client by default.
2. Proxy voting is undertaken upon receipt of the proxy from the applicable custodian.
3. All proxy votes will be undertaken solely in the best interests of Strategies Investment Management, LLC's clients and their participants and/or beneficiaries. In the case of ERISA qualified retirement plans, any proxy voting conflict between clients and their plan participants will be voted in the interest of the plan participants.
4. Potential conflicts of interest for Strategies Investment Management, LLC:
 - a. Strategies Investment Management, LLC derives 100% of its revenue from clientele and does not have any financial interest in any outcome of any proxy vote.
 - b. Strategies Investment Management, LLC does not engage in individual securities. It employs mutual funds and other such pooled vehicles.
 - c. Strategies Investment Management, LLC does not have any significant outside relationship with individuals or entities that may be a participant, proponent or opponent of any certain proxy proposals that it is aware of.
 - d. Should a case arise, where a material conflict of interest exists, then Strategies Investment Management, LLC will disclose the material conflict of interest to the applicable clients and obtain their consent before voting the proxy.
5. Clients (and, in the case of retirement plans, their participants) may obtain the results of Strategies Investment Management, LLC's proxy voting upon written request.
6. All votes are registered electronically via www.proxyvote.com and the hard copy is kept for recordkeeping.
7. All proxy voting records and associated material documentation will be kept at the location of Strategies Investment Management, LLC.



Financial Information

As an independent and privately held firm, Strategies Investment Management, LLC does not share its financial statements. Since our 2010 inception, we have remained a fee-for-service firm that is compensated solely by our clientele. We have historically grown by 15 to 20 percent annually. All expenditures, capital investment, etc. are financed out of cash flows, and the firm is managed in a financially conservative manner.