

## **BROCHURE SUPPLEMENT**

**March 2015**

**This brochure supplement provides information about C. Kelly Buckley that supplements the Spectrum Financial Alliance, Ltd. L.L.C. brochure. You should have received a copy of that brochure. Please contact C. Kelly Buckley if you did not receive the Spectrum Financial Alliance, Ltd. L.L.C. brochure or if you have any questions about the contents of this supplement.**

**Additional information about C. Kelly Buckley is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

**C. Kelly Buckley**  
Spectrum Financial Alliance, Ltd. L.L.C.  
105 Wind Haven Drive  
Nicholasville, Kentucky 40356  
Phone: (859) 223-6333

### ***Educational Background and Business Experience***

Date of Birth: 1957

#### **Educational Background:**

United States Air Force Academy: BS, Social Services, 1979  
Midwestern State University: MBA, Finance, 1986

#### **Professional Designations:**

Certified Financial Planner (CFP™), 1987<sup>1</sup>

#### **Business Background and Affiliations:**

Spectrum Financial Alliance, Ltd., L.L.C.: Owner/Officer, 4/95-present; Investment Advisor Representative, 4/97-present; Chief Compliance Officer, 1/05-present  
Foxtrot 16, L.L.C. Owner/50% Ownership, 06/2013  
Falcon-Harley Ltd., L.L.C.: President/50% Ownership, 04/2000-Present  
Triad Advisors, Inc.: Registered Representative, 12/02-5/06; Investment Advisor Representative, 3/03-8/03  
Linsco/Private Ledger Corp.: Registered Representative, Investment Advisor Representative, 4/95-1/03  
Merrill Lynch, Pierce, Fenner & Smith, Inc.: Assistant Vice President: 10/87-4/95

### ***Disciplinary Information***

C. Kelly Buckley has no disciplinary history required to be disclosed by the U.S. Securities and Exchange Commission or state regulatory authorities.

### ***Other Business Activities***

Spectrum Financial Alliance, Ltd. L.L.C. is also licensed as an insurance entity in the State of Kentucky. Mr. Buckley spends a small amount of his workweek on corporate duties related to the insurance side of Spectrum's business and also on his duties as Chief Compliance Officer.

### ***Additional Compensation***

Spectrum Financial Alliance, Ltd. L.L.C. does not receive any additional compensation relating to conference sponsorship, educational sessions, marketing support, travel reimbursement or other similar industry activities.

### ***Supervision***

C. Kelly Buckley is the Chief Compliance Officer of Spectrum Financial Alliance, Ltd. L.L.C.. He is responsible for developing, overseeing and enforcing the firm's compliance programs that have been established to monitor and supervise the activities and services provided by the firm and its representatives, including himself. He can be contacted at (859) 223-6333.

### *Professional Designation Disclosure*

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the "CFP® marks") are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board").

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board's *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the *Standards of Professional Conduct*. The *Standards* prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.