

# **BROCHURE SUPPLEMENT**

**May 2012**

**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<sup>™</sup>), 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  
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.

### **Requirements for State Registered Advisors**

Mr. Buckley has not been involved in an arbitration claim alleging damages in excess of \$2,500 resulting in an award or otherwise being found liable. Additionally, he has not been involved in a civil, self-regulatory organization or administrative proceeding resulting in an award or otherwise being found liable. He has not been the subject of a bankruptcy petition.

### **Professional Designation Disclosure**

<sup>1</sup> The Certified Financial Planner™ (CFP®) designation is issued by the Certified Financial Planner Board of Standards, Inc. It is a voluntary certification recognized by the United States and other countries for its (1) high standard of professional education, (2) stringent code of conduct and standards of practice and (3) ethical requirements governing professional engagements with clients. A candidate for designation must first obtain a Bachelor's Degree from an accredited college or university with courses that included financial planning subject areas (e.g. insurance planning, risk management, employee benefits planning, investment planning, income tax planning, retirement planning and estate planning). Candidates must also have at least 3 years of full-time personal financial planning experience, measured as 2,000 hours per year. CFP® candidates must pass a 2-day comprehensive examination designed to test their ability to correctly diagnose financial planning issues and apply their knowledge to real world circumstances. Candidates must also agree to be bound by the Certified Financial Planner Board's Standards of Professional Conduct. Anyone earning designation as a CFP® must complete 30 hours of continuing education every two years and renew the agreement to be bound by the Standards of Professional Conduct.