



STRATEGIC PORTFOLIO ADVISORS

Form ADV Part 2B Brochure Supplement For

Donald J. Raatz

Strategic Portfolio Advisors
10161 Park Run Dr. Suite 150
Las Vegas NV, 89145
May 20, 2012

draatz1@cox.net
www.strategicportfolioadvisors.com

PURPOSE OF THE BROCHURE SUPPLEMENT:

This *BROCHURE SUPPLEMENT* provides information about Donald J. Raatz that supplements the Strategic Portfolio Advisors *FIRM BROCHURE* document. You should have received a copy of the *FIRM BROCHURE*. Please contact Donald J. Raatz if you did not receive the Strategic Portfolio Advisors *FIRM BROCHURE* or if you have any questions about the contents of this *BROCHURE SUPPLEMENT*.

Additional information about Donald J. Raatz is available on the SEC's website at www.adviserinfo.sec.gov (the **CRD number for Donald J. Raatz is 1058325**).

NOTE:

While Strategic Portfolio Advisors may refer to itself as a "registered investment advisor" or "RIA" clients should be aware that registration itself does not imply any level or skill or training.



EDUCATIONAL AND BUSINESS EXPERIENCE:

Donald J. Raatz

Year of Birth 1951

Education after High School

☐ Purdue University – 1973 Bachelor of Science

Business Background:

- ☐ Strategic Portfolio Advisors, 02/2004 – Present
Managing Member, Investment Advisor Representative, Chief Compliance Officer
- ☐ Cambridge Investment Research, 12/2005 – 06/2008
Registered Representative
- ☐ Berthel, Fisher & Co. Financial Services Inc., 03/2003 – 12/2005
Registered Representative
- ☐ Strategic Portfolio Advisors/TLCS Inc. 02/2003 – 10/2005
Investment Advisor Representative
- ☐ Continental Capital Investment Services 02/2003 - 03/2003
Financial Advisor
- ☐ Prudential Securities, 03/1985 – 02/2003
Registered Representative
- ☐ Merrill Lynch, Pierce Fenner & Smith, Inc., 07/1982 – 04/1985
Registered Representative

Professional Designations/Certifications:

NASD Securities License Series 63

NASD Securities License Series 65

DISCIPLINARY INFORMATION:

Mr. Raatz does not have any disciplinary disclosure. Clients and prospective clients can view the CRD records (registration records) for Donald J. Raatz through the SEC's Investment Adviser Public Disclosure (IAPD) website at www.adviserinfo.sec.gov or FINRA's Broker Check database online at www.finra.org/brokercheck. The CRD number for Donald J. Raatz is 1058325.



OTHER BUSINESS ACTIVITIES:

In addition to being investment adviser representative (hereafter “IA Reps”) of Strategic Portfolio Advisors (hereafter “SPA”), Donald J. Raatz is licensed as an independent insurance agent in Nevada.

Donald J. Raatz as an IA Rep of SPA may make recommendations on insurance products and may also, as an independent insurance agent, sell those recommended insurance products to advisory clients. When such recommendations or sales are made, a conflict of interest exists as Donald J. Raatz may earn insurance commissions for the sale of those products, which may create an incentive to recommend such products. SPA requires that Donald J. Raatz disclose this conflict of interest when such recommendations are made. Also, SPA requires Donald J. Raatz to disclose that advisory clients may purchase recommended insurance products from other insurance agents not affiliated with SPA.

ADDITIONAL COMPENSATION:

Aside from the sales commissions paid by insurance companies to Donald J. Raatz (see the “OTHER BUSINESS ACTIVITIES” section above), Donald J. Raatz may not receive any additional compensation from non-clients for providing advisory services. All advisory compensation is paid by clients directly to SPA.

SUPERVISION:

As Managing Member and Chief Compliance Officer of SPA, Donald J. Raatz is primarily responsible for supervision of SPA and its IA Reps. As Donald J. Raatz is an IA Rep himself, his accounts are reviewed by Rebecca A. Buckley, an Investment Advisor Representative of SPA. For all levels of service offered by Donald J. Raatz, all security recommendations are reviewed by Rebecca A. Buckley. Rebecca A. Buckley also reviews Donald J. Raatz’s accounts each quarter in conjunction with the calculation of advisory fees. Advisory clients may contact Rebecca A. Buckley directly at (702) 460-3318.

REQUIREMENTS FOR STATE-REGISTERED ADVISERS:

There are no additional state required disclosures.





STRATEGIC PORTFOLIO ADVISORS

Form ADV Part 2B Brochure Supplement For

Rebecca A. Buckley

Strategic Portfolio Advisors
10161 Park Run Dr. Suite 150
Las Vegas NV, 89145
May 20, 2012

bbuckley6@cox.net
www.strategicportfolioadvisors.com

PURPOSE OF THE BROCHURE SUPPLEMENT:

This *BROCHURE SUPPLEMENT* provides information about Rebecca A. Buckley that supplements the Strategic Portfolio Advisors *FIRM BROCHURE* document. You should have received a copy of the *FIRM BROCHURE*. Please contact Rebecca A. Buckley if you did not receive the Strategic Portfolio Advisors *FIRM BROCHURE* or if you have any questions about the contents of this *BROCHURE SUPPLEMENT*. Additional information about Rebecca A. Buckley is available on the SEC's website at www.adviserinfo.sec.gov (the **CRD number for Rebecca A. Buckley is 132825**).

NOTE:

While Strategic Portfolio Advisors may refer to itself as a "registered investment advisor" or "RIA" clients should be aware that registration itself does not imply any level or skill or training.



EDUCATIONAL AND BUSINESS EXPERIENCE:

Rebecca A. Buckley

Year of Birth 1948

Education after High School

- ☐ University of California at Northridge – 1974 Bachelor of Science
- ☐ University of Nevada at Reno – 1976 Masters of Science

Business Background:

- ☐ Strategic Portfolio Advisors, 05/2009 – Present
Investment Advisor Representative
- ☐ UBS Securities, Inc., 01/2001 – 05/2009
Registered Representative
- ☐ Prudential Securities, 06/1983 – 01/2001
Registered Representative
- ☐ Paine, Webber Jackson, Curtis Inc., 02/1982 – 06/1983
Registered Representative

Professional Designations/Certifications:

NASD Securities License Series 63

Certified Financial Planner (CFP®) The CERTIFIED FINANCIAL PLANNER, CFP® and 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, as 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 Boards 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 the developments in the financial planning field; and
 - ☐ Ethics – Review an agreement to be bound by the *Standards of Professional Conduct*. The Standards prominently require that 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.

Certified Divorce Financial Analyst

A CDFA is an expert in the unique financial circumstances that surround a divorce. The professional training for the certification is focused on understanding and estimating the long-term costs of a divorce.



Areas of expertise include:

- ☐ Tax consequences of divorce agreements
- ☐ The process of valuing and dividing property fairly
- ☐ Determining how much alimony and/or child support is appropriate and for how long
- ☐ Modeling the future values of retirement and pension funds

Designees factor in considerations like inflation, cost of living adjustments, changes in custody agreements and other issues. A CDFA uses unique software programs and solid financial expertise to ensure that today's split of assets and cash flow will still be fair and equitable for years to come.

DISCIPLINARY INFORMATION:

Rebecca A. Buckley does not have any disciplinary disclosure. Clients and prospective clients can view the CRD records (registration records) for Rebecca A. Buckley through the SEC's Investment Adviser Public Disclosure (IAPD) website at **www.adviserinfo.sec.gov** or FINRA's Broker Check database online at **www.finra.org/brokercheck**. The CRD number for Rebecca A. Buckley is 1015137.

OTHER BUSINESS ACTIVITIES:

In addition to being investment adviser representatives (hereafter "IA Reps") of Strategic Portfolio Advisors (hereafter "SPA"), Rebecca A. Buckley is licensed as an independent insurance agent in Nevada.

Rebecca A. Buckley as an IA Rep of SPA may make recommendations on insurance products and may also, as an independent insurance agent, sell those recommended insurance products to advisory clients. When such recommendations or sales are made, a conflict of interest exists as Rebecca A. Buckley may earn insurance commissions for the sale of those products, which may create an incentive to recommend such products. SPA requires that Rebecca A. Buckley disclose this conflict of interest when such recommendations are made. As a precaution to minimizing conflict of interest, SPA requires that any commission earned on the sale of such insurance products be assigned to SPA. Also, SPA requires Rebecca A. Buckley to disclose that advisory clients may purchase recommended insurance products from other insurance agents not affiliated with SPA.



ADDITIONAL COMPENSATION:

Aside from the sales commissions paid by insurance companies to Rebecca A. Buckley (see the “OTHER BUSINESS ACTIVITIES” section above), Rebecca A. Buckley may not receive any additional compensation from non-clients for providing advisory services. All advisory compensation is paid by clients directly to SPA.

SUPERVISION:

As Managing Member and Chief Compliance Officer of SPA, Donald J. Raatz is primarily responsible for supervision of SPA and its IA Reps, including Rebecca A. Buckley. For all levels of service offered by SPA, all security recommendations are reviewed by Donald J. Raatz. Donald J. Raatz also reviews accounts as a whole each quarter in conjunction with the calculation of advisory fees. Advisory clients may contact Donald J. Raatz directly at (702) 460-3358.

REQUIREMENTS FOR STATE-REGISTERED ADVISERS:

There are no additional state required disclosures.





STRATEGIC PORTFOLIO ADVISORS

Form ADV Part 2B Brochure Supplement For

James R. Raatz

Strategic Portfolio Advisors
10161 Park Run Dr. Suite 150
Las Vegas NV, 89145
May 20, 2012

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www.strategicportfolioadvisors.com

PURPOSE OF THE BROCHURE SUPPLEMENT:

This *BROCHURE SUPPLEMENT* provides information about James R. Raatz that supplements the Strategic Portfolio Advisors *FIRM BROCHURE* document. You should have received a copy of the *FIRM BROCHURE*. Please contact James R. Raatz if you did not receive the Strategic Portfolio Advisors *FIRM BROCHURE* or if you have any questions about the contents of this *BROCHURE SUPPLEMENT*. Additional information about James R. Raatz is available on the SEC's website at www.adviserinfo.sec.gov (the **CRD number for James R. Raatz is 725108**).

NOTE:

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EDUCATIONAL AND BUSINESS EXPERIENCE:

James R. Raatz

Year of Birth 1951

Education after High School

- ☐ Purdue University – 1974 Bachelor of Science
- ☐ Troy State University – 1978 Masters in Business Administration

Business Background:

- ☐ Strategic Portfolio Advisors, 05/2009 – Present
Investment Advisor Representative
- ☐ Wachovia Securities, 07/2003 – 05/2009
Registered Representative
- ☐ Prudential Securities, 03/1983 – 07/2003

Professional Designations/Certifications:

NASD Securities License Series 63

NASD Securities License Series 65

DISCIPLINARY INFORMATION:

Mr. Raatz does not have any disciplinary disclosure. Clients and prospective clients can view the CRD records (registration records) for James R. Raatz through the SEC's Investment Adviser Public Disclosure (IAPD) website at www.adviserinfo.sec.gov or FINRA's Broker Check database online at www.finra.org/brokercheck. The CRD number for James R. Raatz is 725108.





OTHER BUSINESS ACTIVITIES:

In addition to being investment advisor representatives (hereafter “IA Reps”) of Strategic Portfolio Advisors (hereafter “SPA”), James R. Raatz is licensed as an independent insurance agent in Nevada.

James R. Raatz as an IA Rep of SPA may make recommendations on insurance products and may also, as an independent insurance agent, sell those recommended insurance products to advisory clients. When such recommendations or sales are made, a conflict of interest exists as James R. Raatz may earn insurance commissions for the sale of those products, which may create an incentive to recommend such products. SPA requires that James R. Raatz disclose this conflict of interest when such recommendations are made. Also, SPA requires James R. Raatz to disclose that advisory clients may purchase recommended insurance products from other insurance agents not affiliated with SPA.

ADDITIONAL COMPENSATION:

Aside from the sales commissions paid by insurance companies to James R. Raatz (see the “OTHER BUSINESS ACTIVITIES” section above), James R. Raatz may not receive any additional compensation from non-clients for providing advisory services. All advisory compensation is paid by clients directly to SPA.

SUPERVISION:

As Managing Member and Chief Compliance Officer of SPA, Donald J. Raatz is primarily responsible for supervision of SPA and its IA Reps, including James R. Raatz. For all levels of service offered by SPA, all security recommendations are reviewed by Donald J. Raatz. Donald J. Raatz also reviews accounts as a whole each quarter in conjunction with the calculation of advisory fees. Advisory clients may contact Donald J. Raatz directly at (702) 460-3358.

REQUIREMENTS FOR STATE-REGISTERED ADVISERS:

There are no additional state required disclosures.

