



**431 West Seventh Street
Anchorage, Alaska 99501**

Phone: 907-278-1351

April 9, 2024

Form ADV Part 2B – Brochure Supplement

For

Floyd L. Shilanski

Founder, and Investment Adviser Representative

This Brochure Supplement provides information about the qualifications of Floyd L. Shilanski, an Investment Adviser Representative of Shilanski & Associates, Inc. (“SAAI” or the “Firm”), and supplements SAAI’s Brochure. You should have received a copy of that brochure. Please contact Micah Shilanski at info@shilanski.com if you did not receive SAAI’s Brochure.

Additional information about the Firm’s Investment Adviser Representatives is available on the SEC’s website at www.adviserinfo.sec.gov. The site is searchable by a unique identifying number known as a CRD number. Floyd Shilanski’s CRD number is 1128560.

Item 2: Educational Background and Business Experience

Floyd L. Shilanski, AIF®, RFC®

Born: 1951

Mr. Shilanski enlisted in the United States Air Force in 1971 and departed the Air Force in 1978 to start Projections Unlimited in Anchorage, Alaska. Projections Unlimited was a fee-based investment planning firm, and in 1981, changed its name to Shilanski & Associates, Inc., (SAAI). In 1984, Mr. Shilanski expanded the role of SAAI to a full-service company providing fee planning, investment planning and advice, securities sales and insurance. In 2001, Mr. Shilanski transferred his broker-dealer affiliation from Washington Square Securities, Inc. to Summit Brokerage Services, Inc. Mr. Shilanski left Summit Brokerage Services, Inc. in 2018. Mr. Shilanski currently serves as Founder of Shilanski & Associates, Inc. and is one of four of SAAI's investment adviser representatives. Floyd also has earned his Registered Financial Consultant® (RFC®) designation, and Accredited Investment Fiduciary® (AIF) designation.

Mr. Shilanski holds the following license:

- Series 65 (Investment Adviser Representative)

Mr. Shilanski holds Insurance License #553 for the State of Alaska and is approved to sell the following insurance products:

- Life Insurance
- Health Insurance

Professional Designations, Licensing & Exams

The **REGISTERED FINANCIAL CONSULTANT (RFC®)** designation given to advisors who “meet and document seven requirements of education, experience, examination, integrity, licensing, ethics and complete continuing professional education requirements. Candidates must pass an examination and complete 40 hours of continuing education per year.

Item 3: Disciplinary Information

Floyd L. Shilanski does not have a disciplinary history to report.

Item 4: Other Business Activities

Floyd L. Shilanski devotes time to speaking and educating the industry in practice management procedures. Shilanski Family 2001 LLC was created for personal estate and business planning for Floyd and Rosa Shilanski.

Floyd Shilanski is licensed with several life, disability, and other insurance companies. We may recommend insurance products offered by these companies. If our clients purchase these products through us, we receive the normal commissions. Thus, a potential conflict of interest exists between our interests and those of our advisory clients. The client is under no obligation to purchase product we recommend or to purchase products either through us or through these insurance companies. From time to time the affiliates may

receive overrides from insurance companies. The Firm also receives insurance commissions. A potential conflict of interest exists.

Item 5: Additional Compensation

Floyd Shilanski is a part-owner of an airplane hangar which leases space from the State of Alaska in Big Lake, Alaska. The hangar is rented from time to time to other pilots in need of storage space. He owns this hangar with a client since 2017.

Item 6: Supervision

Jim Cullen, Chief Compliance Officer, is responsible for supervision and supervises personnel and the investments made in client accounts. He monitors the investments to ensure they are suitable for the client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. He may be contacted at the phone number on this brochure supplement.



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For

Micah Shilanski, CERTIFIED FINANCIAL PLANNER™

Co-CEO, and Investment Advisor Representative

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Additional information about the Firm’s Investment Adviser Representatives is available on the SEC’s website at www.adviserinfo.sec.gov. The site is searchable by a unique identifying number known as a CRD number. Micah Shilanski’s CRD number is 4540876.

Item 2: Educational Background and Business Experience

Micah Shilanski, CFP® , RFC®

Born: 1982

Micah has worked for Shilanski & Associates, Inc. for several years, starting out as a service assistant. During this time Micah completed his licensing requirements for fixed life insurance. Micah holds the Registered Financial Consultant® (RFC) designation as well as earned his CERTIFIED FINANCIAL PLANNER™ (CFP®) designation.

Mr. Shilanski holds insurance License #27972 for the State of Alaska and is approved to sell the following insurance products:

- Life Insurance

Professional Designations, Licensing & Exams

CERTIFIED FINANCIAL PLANNER™ professional

I am certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, I may refer to myself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and I may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at www.cfp.net.

CFP® professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education**¹ – 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. 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 is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the *Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement* and agree to be bound by CFP Board's *Code of Ethics and*

¹ This requirement is a recent change. Micah Shilanski obtained his CFP designation prior to these qualifications. He maintains his designation in good standing complying with on-going organization requirements.

Standards of Conduct (“Code and Standards”), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board’s *Code and Standards*. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional’s services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the *Code and Standards*.

The **REGISTERED FINANCIAL CONSULTANT (RFC)** designation given to advisors who “meet and document seven requirements of education, experience, examination, integrity, licensing, ethics and complete continuing professional education requirements. Candidates must pass an examination and complete 40 hours of continuing education per year.

Item 3: Disciplinary Information

Micah Shilanski has not been the subject of any material legal or disciplinary action in the last ten years.

Item 4: Other Business Activities

Micah Shilanski devotes time to speaking, writing books and educating the industry in practice management procedures.

Micah Shilanski is licensed with several life, and other insurance companies. We may recommend insurance products offered by these companies. If our clients purchase these products through us, we receive the normal commissions. Thus, a potential conflict of interest exists between our interests and those of our advisory clients. The client is under no obligation to purchase product we recommend or to purchase products either through us or through these insurance companies. From time to time the affiliates may receive overrides from insurance companies. The Firm also receives insurance commissions. A potential conflict of interest exists.

Micah Shilanski is actively engaged in The Perfect RIA, a coaching program for other financial advisors on how to deliver value to their clients. He spends up to 17 hours a week on this activity.

Micah Shilanski is an owner of Retirement Tax Services (RTS), a tax preparation company. Shilanski & Associates, Inc. does recommend RTS to advisory clients in need of tax preparation services. Tax preparation services provided by RTS are separate and distinct from our advisory services and are provided for separately

and require typical compensation. There are no referral fee arrangements between our firms for these recommendations. No Shilanski & Associates, Inc. client is obligated to use RTS for any tax preparation services and conversely, no accounting client is obligated to use the advisory services provided by us. RTS's tax preparation services do not include the authority to sign checks or otherwise disburse funds on any of our advisory client's behalf. He spends up to 8 hours a week on this activity.

Micah Shilanski is an indirect owner of Bristol Ann Wild LLC, which invests, manages, and consults on small businesses, which has an ownership stake in Tier 1 Veterinary Medical Center. He does not spend time on this activity.

Item 5: Additional Compensation

Mr. Shilanski receives commissions for selling insurance products.

Item 6: Supervision

Jim Cullen, Chief Compliance Officer, is responsible for supervision and supervises personnel and the investments made in client accounts. He monitors the investments to ensure they are suitable for the client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. He may be contacted at the phone number on this brochure supplement.



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Form ADV Part 2B – Brochure Supplement

For

Jamie Shilanski

Co-CEO

This Brochure Supplement provides information about the qualifications of Jamie Shilanski, an Investment Adviser Representative of Shilanski & Associates, Inc. (“SAAI” or the “Firm”), and supplements SAAI’s Brochure. You should have received a copy of that brochure. Please contact Micah Shilanski at info@shilanski.com if you did not receive SAAI’s Brochure.

Additional information about the Firm’s Investment Adviser Representatives is available on the SEC’s website at www.adviserinfo.sec.gov. The site is searchable by a unique identifying number known as a CRD number. Jamie Shilanski’s CRD number is 4540918.

Item 2: Educational Background and Business Experience

Jamie C. Shilanski, RFC®

Born: 1980

Jamie has worked for Shilanski & Associates, Inc. since 1998, when she began her career in the Marketing Department. Over the years, Jamie transitioned into client services and obtained her licensing for fixed life insurance and securities. Jamie holds the Registered Financial Consultant® (RFC) designation and has passed the following exams:

- Series 7 (General Securities Registered Representative)
- Series 66 (Uniform Combined State Law Examination)

Ms. Shilanski holds Insurance License #6994 for the State of Alaska and is approved to sell the following insurance products:

- Life Insurance
- Health Insurance
- Variable Life Insurance Variable Annuities

Ms. Shilanski is a Registered Representative of Cetera Advisors Network.

Professional Designations, Licensing & Exams

The **REGISTERED FINANCIAL CONSULTANT (RFC)** designation given to advisors who “meet and document seven requirements of education, experience, examination, integrity, licensing, ethics and complete continuing professional education requirements. Candidates must pass an examination and complete 40 hours of continuing education per year.

Item 3: Disciplinary Information

Jamie Shilanski has not been the subject of any material legal or disciplinary action in the last ten years.

Item 4: Other Business Activities

Jamie Shilanski is a Registered Representative of Cetera Advisors Network. She may recommend securities, asset management, or insurance products offered through Cetera Advisors Network or its affiliates, and other insurance companies. If our clients purchase these products through us, Jamie Shilanski will receive the normal commissions and/or fees. Thus, a potential conflict exists between our interests and those of our advisory clients. The client is under no obligation to purchase products we recommend, or to purchase products through us or through Cetera Advisors Network.

Because of these conflicts of interests, Jamie Shilanski is incentivized to execute trades through Cetera Advisors Network only. She will receive commissions and/or fees as well as bonuses for meeting certain revenue levels. The same products and services may be available to clients at a lower cost at other non-

Cetera Advisors Network affiliated brokerage firms.

Jamie Shilanski is licensed with several life, disability, and other insurance companies. We may recommend insurance products offered by these companies. If our clients purchase these products through us, we receive the normal commissions. Thus, a potential conflict of interest exists between our interests and those of our advisory clients. The client is under no obligation to purchase product we recommend or to purchase products either through us or through these insurance companies. From time to time the affiliates may receive overrides from insurance companies. The Firm also receives insurance commissions. A potential conflict of interest exists.

As of February 2022, Ms. Shilanski is for a minority owner of The Perfect RIA. She provides professional services (intellectual property) on employee training techniques. She spends about 5 hours a month on this endeavor, none during trading hours.

As of January 2021, Ms. Shilanski serves as the Chief Financial Officer for Tier 1 Veterinary Medical Center. She spends about 10 - 15 hours a week on this activity. Jamie Shilanski is an indirect owner of Bristol Ann Wild LLC, which invests, manages, and consults on small businesses, which has an ownership stake in Tier 1 Veterinary Medical Center. She spends up to an hour a week on this activity.

Jamie Shilanski is an owner of Retirement Tax Services (RTS), a tax preparation company. Shilanski & Associates, Inc. does recommend RTS to advisory clients in need of tax preparation services. Tax preparation services provided by RTS are separate and distinct from our advisory services and are provided for separately and require typical compensation. There are no referral fee arrangements between our firms for these recommendations. No Shilanski & Associates, Inc. client is obligated to use RTS for any tax preparation services and conversely, no accounting client is obligated to use the advisory services provided by us. RTS's tax preparation services do not include the authority to sign checks or otherwise disburse funds on any of our advisory client's behalf. She spends approximately 1 to 3 hours a week on this activity.

Item 5: Additional Compensation

As discussed in Item 4, Jamie Shilanski receives commissions for securities offered through Summit Brokerage Services, Inc. She also receives commissions for selling insurance products.

Item 6: Supervision

Jim Cullen, Chief Compliance Officer, is responsible for supervision and supervises personnel and the investments made in client accounts. He monitors the investments to ensure they are suitable for the client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. He may be contacted at the phone number on this brochure supplement.



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**One Sarasota Tower
2 North Tamiami Trail, Suite 708
Sarasota, FL 34236
Phone: 941-906-9317**

April 9, 2024

Form ADV Part 2B – Brochure Supplement

For

John Joseph Raleigh, Jr.

CERTIFIED FINANCIAL PLANNER™

Financial Advisor

This Brochure Supplement provides information about the qualifications of John Raleigh, an Investment Adviser Representative of Shilanski & Associates, Inc. (“SAAI” or the “Firm”), and supplements SAAI’s Brochure. You should have received a copy of that brochure. Please contact Micah Shilanski at info@shilanski.com if you did not receive SAAI’s Brochure.

Additional information about the Firm’s Investment Adviser Representatives is available on the SEC’s website at www.adviserinfo.sec.gov. The site is searchable by a unique identifying number known as a CRD number. John Raleigh’s CRD number is 2061366.

Item 2: Educational Background and Business Experience

John Joseph Raleigh, Jr, CFP®

Born: 1962

John Raleigh, Jr. has worked for Shilanski & Associates, Inc. since 2017 as an investment adviser representative. A graduate of Virginia Tech with a Bachelor's Degree in Animal Science, Mr. Raleigh also holds the Certified Financial Planner™ (CFP®) designation.

Mr. Raleigh holds Insurance License #A214401 for the State of Florida and is approved to sell the following insurance products:

- Life Insurance
- Health Insurance

Professional Designations, Licensing & Exams

CERTIFIED FINANCIAL PLANNER™ professional

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CFP® professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the *Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement* and agree to be bound by CFP Board's *Code of Ethics and Standards of Conduct ("Code and Standards")*, which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board’s *Code and Standards*. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional’s services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the *Code and Standards*.

Item 3: Disciplinary Information

John Raleigh has not been the subject of any material legal or disciplinary action in the last ten years.

Item 4: Other Business Activities

John Raleigh is licensed with several life, disability, and other insurance companies. We may recommend insurance products offered by these companies. If our clients purchase these products through us, we receive the normal commissions. Thus, a potential conflict of interest exists between our interests and those of our advisory clients. The client is under no obligation to purchase product we recommend or to purchase products either through us or through these insurance companies. From time to time the affiliates may receive overrides from insurance companies. The Firm also receives insurance commissions. A potential conflict of interest exists.

Mr. Raleigh is also a President on the Board of Directors for the Humane Society of Sarasota County. Mr. Raleigh is a member of the U.S. Coast Guard Auxiliary. These are both volunteer positions.

Item 5: Additional Compensation

Mr. Raleigh receives commissions for selling insurance products.

Item 6: Supervision

Jim Cullen, Chief Compliance Officer, is responsible for supervision and supervises personnel and the investments made in client accounts. He monitors the investments to ensure they are suitable for the client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. He may be contacted at the phone number on this brochure supplement.



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April 9, 2024

Form ADV Part 2B – Brochure Supplement

For

Christian J. Graddon-Sakamoto, CERTIFIED FINANCIAL PLANNER™
Financial Advisor

This Brochure Supplement provides information about the qualifications of Christian Graddon-Sakamoto, an Investment Adviser Representative of Shilanski & Associates, Inc. (“SAAI” or the “Firm”), and supplements SAAI’s Brochure. You should have received a copy of that brochure. Please contact Micah Shilanski at info@shilanski.com if you did not receive SAAI’s Brochure.

Additional information about the Firm’s Investment Adviser Representatives is available on the SEC’s website at www.adviserinfo.sec.gov. The site is searchable by a unique identifying number known as a CRD number. Christian Graddon-Sakamoto’s CRD number is 6543701.

Item 2: Educational Background and Business Experience

Christian Graddon-Sakamoto, CFP®

Born: 1994

Christian Graddon-Sakamoto has worked for Shilanski & Associates, Inc. since 2020 as an investment adviser representative. Prior to his employment at Shilanski & Associates, Inc., Mr. Graddon-Sakamoto was a financial advisor at Northwestern Mutual from August 2015 to October 2020. Also, Mr. Graddon-Sakamoto was an insurance agent with AFLAC from March 2015 to July 2015. In 2012, Mr. Graddon-Sakamoto received an Associate of Business degree from Highline Community College, in Des Moines, Iowa. In 2014, he received a Bachelor of Business Administrative from the University of Washington-Tacoma.

Christian has earned the Certified Financial Planner™ (CFP®) designation.

Mr. Graddon-Sakamoto holds Insurance License #884204 for the State of Washington, #1310628 for Virginia and #3002018245 for Alaska. He is approved to sell the following insurance products:

- Life Insurance
- Health Insurance

Professional Designations, Licensing & Exams

CERTIFIED FINANCIAL PLANNER™ professional

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CFP® professionals have met CFP Board’s high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor’s degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual’s ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.

- **Ethics** – Satisfy the *Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement* and agree to be bound by CFP Board’s *Code of Ethics and Standards of Conduct (“Code and Standards”)*, which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board’s *Code and Standards*. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional’s services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the *Code and Standards*.

Item 3: Disciplinary Information

Christian Graddon-Sakamoto has not been the subject of any material legal or disciplinary action in the last ten years.

Item 4: Other Business Activities

Mr. Graddon-Sakamoto is not involved in other business activities.

Item 5: Additional Compensation

Mr. Graddon-Sakamoto receives commissions for selling insurance products.

Item 6: Supervision

Jim Cullen, Chief Compliance Officer, is responsible for supervision and supervises personnel and the investments made in client accounts. He monitors the investments to ensure they are suitable for the client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. He may be contacted at the phone number on this brochure supplement.



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For

James T. Ferrin, CERTIFIED FINANCIAL PLANNER™

Financial Advisor

This Brochure Supplement provides information about the qualifications of James Ferrin, a Financial Advisor of Shilanski & Associates, Inc. (“SAAI” or the “Firm”), and supplements SAAI’s Brochure. You should have received a copy of that brochure. Please contact Micah Shilanski at info@shilanski.com if you did not receive SAAI’s Brochure.

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Item 2: Educational Background and Business Experience

James Thomas Ferrin, CFP®

Born: 1987

James Ferrin has worked for Shilanski & Associates, Inc. since 2023 as a financial advisor. Prior to his employment at Shilanski & Associates, Inc., Mr. Ferrin was a registered representative at LPL Financial LLC from February 2019 to January 2023. Also, Mr. Ferrin was in administration with Ferrin Capital from December 2012 until May 2020. He was also employed by Triad Advisors Inc in administration from December 2012 until December 2019.

In 2012, Mr. Ferrin received a Bachelor of Arts degree from Brigham Young University.

James has earned the Certified Financial Planner™ (CFP®) designation.

James holds Insurance License #3002901296 for the State of Alaska and #999977 for Utah. He is approved to sell the following insurance products:

- Life Insurance
- Health Insurance

Professional Designations, Licensing & Exams

CERTIFIED FINANCIAL PLANNER™ professional

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- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual’s ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial

planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.

- **Ethics** – Satisfy the *Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement* and agree to be bound by CFP Board’s *Code of Ethics and Standards of Conduct (“Code and Standards”)*, which sets forth the ethical and practice standards for CFP® professionals.

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- **Ethics** – Commit to complying with CFP Board’s *Code and Standards*. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional’s services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the *Code and Standards*.

Item 3: Disciplinary Information

James Ferrin has not been the subject of any material legal or disciplinary action in the last ten years.

Item 4: Other Business Activities

James Ferrin is not involved with outside business activities.

Item 5: Additional Compensation

Mr. Ferrin does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through SAAI.

Item 6: Supervision

Jim Cullen, Chief Compliance Officer, is responsible for supervision and supervises personnel and the investments made in client accounts. He monitors the investments to ensure they are suitable for the client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. He may be contacted at the phone number on this brochure supplement.