

Uniform Application for Investment Adviser Registration

OMB APPROVAL	
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Name of Investment Adviser: <b>BUREKER, CHARLES RANDOLPH</b>				
Address: (Number and Street)	(City)	(State)	(Zip Code)	Area Code Telephone Number
<b>289 Castle Crest Road</b>	<b>Alamo</b>	<b>CA</b>	<b>94507-2678</b>	<b>(925 ) 944-5554</b>

This part of Form ADV gives information about the investment adviser and its business for the use of clients.  
The information has not been approved or verified by any governmental authority.

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(Schedules A, B, C, D, and E are included with Part I of this Form, for the use of regulatory bodies, and are not distributed to clients.)

Potential persons who are to respond to the collection of information contained in this form  
are not required to respond unless the form displays a currently valid OMB control number.

<b>1.</b>	<p><b>A. Advisory Services and Fees.</b> (check the applicable boxes)</p> <p style="text-align: right;">For each type of service provided, state the approximate % of total advisory billings from that service. (See instruction below.)</p> <p><b>Applicant:</b></p> <table style="width: 100%;"> <tr> <td style="width: 5%;"><input checked="" type="checkbox"/></td> <td style="width: 5%;">(1)</td> <td style="width: 75%;">Provides investment supervisory services . . . . .</td> <td style="width: 10%; text-align: right;"><b>100</b></td> <td style="width: 5%; text-align: right;">%</td> </tr> <tr> <td><input type="checkbox"/></td> <td>(2)</td> <td>Manages investment advisory accounts not involving investment supervisory services . . . . .</td> <td style="text-align: right;">_____</td> <td style="text-align: right;">%</td> </tr> <tr> <td><input type="checkbox"/></td> <td>(3)</td> <td>Furnishes investment advice through consultations not included in either service described above . . . . .</td> <td style="text-align: right;">_____</td> <td style="text-align: right;">%</td> </tr> <tr> <td><input type="checkbox"/></td> <td>(4)</td> <td>Issues periodicals about securities by subscription . . . . .</td> <td style="text-align: right;">_____</td> <td style="text-align: right;">%</td> </tr> <tr> <td><input type="checkbox"/></td> <td>(5)</td> <td>Issues special reports about securities not included in any service described above . . . . .</td> <td style="text-align: right;">_____</td> <td style="text-align: right;">%</td> </tr> <tr> <td><input type="checkbox"/></td> <td>(6)</td> <td>Issues, not as part of any service described above, any charts, graphs, formulas, or other devices which clients may use to evaluate securities . . . . .</td> <td style="text-align: right;">_____</td> <td style="text-align: right;">%</td> </tr> <tr> <td><input type="checkbox"/></td> <td>(7)</td> <td>On more than an occasional basis, furnishes advice to clients on matters not involving securities . . . . .</td> <td style="text-align: right;">_____</td> <td style="text-align: right;">%</td> </tr> <tr> <td><input type="checkbox"/></td> <td>(8)</td> <td>Provides a timing service . . . . .</td> <td style="text-align: right;">_____</td> <td style="text-align: right;">%</td> </tr> <tr> <td><input type="checkbox"/></td> <td>(9)</td> <td>Furnishes advice about securities in any manner not described above . . . . .</td> <td style="text-align: right;">_____</td> <td style="text-align: right;">%</td> </tr> </table> <p style="text-align: center;">(Percentages should be based on applicant's last fiscal year. If applicant has not completed its first fiscal year, provide estimates of advisory billings for that year and state that the percentages are estimates.)</p>	<input checked="" type="checkbox"/>	(1)	Provides investment supervisory services . . . . .	<b>100</b>	%	<input type="checkbox"/>	(2)	Manages investment advisory accounts not involving investment supervisory services . . . . .	_____	%	<input type="checkbox"/>	(3)	Furnishes investment advice through consultations not included in either service described above . . . . .	_____	%	<input type="checkbox"/>	(4)	Issues periodicals about securities by subscription . . . . .	_____	%	<input type="checkbox"/>	(5)	Issues special reports about securities not included in any service described above . . . . .	_____	%	<input type="checkbox"/>	(6)	Issues, not as part of any service described above, any charts, graphs, formulas, or other devices which clients may use to evaluate securities . . . . .	_____	%	<input type="checkbox"/>	(7)	On more than an occasional basis, furnishes advice to clients on matters not involving securities . . . . .	_____	%	<input type="checkbox"/>	(8)	Provides a timing service . . . . .	_____	%	<input type="checkbox"/>	(9)	Furnishes advice about securities in any manner not described above . . . . .	_____	%	
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	<p><b>B.</b> Does applicant call any of the services it checked above financial planning or some similar term? . . . . .</p> <p style="text-align: right;">Yes No <input type="checkbox"/> <input checked="" type="checkbox"/></p>																																														
	<p><b>C.</b> Applicant offers investment advisory services for: (check all that apply)</p> <table style="width: 100%;"> <tr> <td style="width: 5%;"><input checked="" type="checkbox"/></td> <td style="width: 5%;">(1)</td> <td style="width: 40%;">A percentage of assets under management</td> <td style="width: 5%;"><input type="checkbox"/></td> <td style="width: 5%;">(4)</td> <td style="width: 40%;">Subscription fees</td> </tr> <tr> <td><input type="checkbox"/></td> <td>(2)</td> <td>Hourly charges</td> <td><input type="checkbox"/></td> <td>(5)</td> <td>Commissions</td> </tr> <tr> <td><input type="checkbox"/></td> <td>(3)</td> <td>Fixed fees (not including subscription fees)</td> <td><input type="checkbox"/></td> <td>(6)</td> <td>Other</td> </tr> </table>		<input checked="" type="checkbox"/>	(1)	A percentage of assets under management	<input type="checkbox"/>	(4)	Subscription fees	<input type="checkbox"/>	(2)	Hourly charges	<input type="checkbox"/>	(5)	Commissions	<input type="checkbox"/>	(3)	Fixed fees (not including subscription fees)	<input type="checkbox"/>	(6)	Other																											
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	<p><b>D.</b> For each checked box in A above, describe on Schedule F:</p> <ul style="list-style-type: none"> <li>● the services provided, including the name of any publication or report issued by the adviser on a subscription basis or for a fee</li> <li>● applicant's basic fee schedule, how fees are charged and whether its fees are negotiable</li> <li>● when compensation is payable, and if compensation is payable before service is provided, how a client may get a refund or may terminate an investment advisory contract before its expiration date</li> </ul>																																														

  

<b>2.</b>	<p><b>Types of Clients</b> — Applicant generally provides investment advice to: (check those that apply)</p> <table style="width: 100%;"> <tr> <td style="width: 5%;"><input checked="" type="checkbox"/></td> <td style="width: 5%;">A.</td> <td style="width: 45%;">Individuals</td> <td style="width: 5%;"><input checked="" type="checkbox"/></td> <td style="width: 5%;">E.</td> <td style="width: 40%;">Trusts, estates, or charitable organizations</td> </tr> <tr> <td><input type="checkbox"/></td> <td>B.</td> <td>Banks or thrift institutions</td> <td><input checked="" type="checkbox"/></td> <td>F.</td> <td>Corporations or business entities other than those listed above</td> </tr> <tr> <td><input type="checkbox"/></td> <td>C.</td> <td>Investment companies</td> <td><input type="checkbox"/></td> <td>G.</td> <td>Other (describe on Schedule F)</td> </tr> <tr> <td><input type="checkbox"/></td> <td>D.</td> <td>Pension and profit sharing plans</td> <td></td> <td></td> <td></td> </tr> </table>	<input checked="" type="checkbox"/>	A.	Individuals	<input checked="" type="checkbox"/>	E.	Trusts, estates, or charitable organizations	<input type="checkbox"/>	B.	Banks or thrift institutions	<input checked="" type="checkbox"/>	F.	Corporations or business entities other than those listed above	<input type="checkbox"/>	C.	Investment companies	<input type="checkbox"/>	G.	Other (describe on Schedule F)	<input type="checkbox"/>	D.	Pension and profit sharing plans			
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**Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).**

Applicant: <b>BUREKER, CHARLES RANDOLPH</b>	SEC File Number: 801-	Date: <b>08/17/2010</b>
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<b>3. Types of Investments.</b> Applicant offers advice on the following: (check those that apply)	
<div><div>A. Equity securities</div><div><div><input checked="" type="checkbox"/> (1) exchange-listed securities</div><div><input checked="" type="checkbox"/> (2) securities traded over-the-counter</div><div><input checked="" type="checkbox"/> (3) foreign issuers</div></div><div><input type="checkbox"/> B. Warrants</div><div><input checked="" type="checkbox"/> C. Corporate debt securities (other than commercial paper)</div><div><input type="checkbox"/> D. Commercial paper</div><div><input type="checkbox"/> E. Certificates of deposit</div><div><input type="checkbox"/> F. Municipal securities</div><div><div>G. Investment company securities:</div><div><div><input type="checkbox"/> (1) variable life insurance</div><div><input type="checkbox"/> (2) variable annuities</div><div><input type="checkbox"/> (3) mutual fund shares</div></div></div></div>	<div><div><input checked="" type="checkbox"/> H. United States government securities</div><div><div>I. Options contracts on:</div><div><div><input type="checkbox"/> (1) securities</div><div><input type="checkbox"/> (2) commodities</div></div></div><div><div>J. Futures contracts on:</div><div><div><input type="checkbox"/> (1) tangibles</div><div><input type="checkbox"/> (2) intangibles</div></div></div><div><div>K. Interests in partnerships investing in:</div><div><div><input checked="" type="checkbox"/> (1) real estate</div><div><input checked="" type="checkbox"/> (2) oil and gas interests</div><div><input type="checkbox"/> (3) other (explain on Schedule F)</div></div></div><div><input type="checkbox"/> L. Other (explain on Schedule F)</div></div>

<b>4. Methods of Analysis, Sources of Information, and Investment Strategies.</b>	
A. Applicant's security analysis methods include: (check those that apply)	
<div><div>(1) <input type="checkbox"/> Charting</div><div>(2) <input checked="" type="checkbox"/> Fundamental</div><div>(3) <input type="checkbox"/> Technical</div></div>	<div><div>(4) <input type="checkbox"/> Cyclical</div><div>(5) <input type="checkbox"/> Other (explain on Schedule F)</div></div>
B. The main sources of information applicant uses include: (check those that apply)	
<div><div>(1) <input checked="" type="checkbox"/> Financial newspapers and magazines</div><div>(2) <input checked="" type="checkbox"/> Inspections of corporate activities</div><div>(3) <input checked="" type="checkbox"/> Research materials prepared by others</div><div>(4) <input type="checkbox"/> Corporate rating services</div></div>	<div><div>(5) <input type="checkbox"/> Timing services</div><div>(6) <input checked="" type="checkbox"/> Annual reports, prospectuses, filings with the Securities and Exchange Commission</div><div>(7) <input checked="" type="checkbox"/> Company press releases</div><div>(8) <input type="checkbox"/> Other (explain on Schedule F)</div></div>
C. The investment strategies used to implement any investment advice given to clients include: (check those that apply)	
<div><div>(1) <input checked="" type="checkbox"/> Long term purchases (securities held at least a year)</div><div>(2) <input checked="" type="checkbox"/> Short term purchases (securities sold within a year)</div><div>(3) <input type="checkbox"/> Trading (securities sold within 30 days)</div><div>(4) <input type="checkbox"/> Short sales</div></div>	<div><div>(5) <input type="checkbox"/> Margin transactions</div><div>(6) <input type="checkbox"/> Option writing, including covered options, uncovered options, or spreading strategies</div><div>(7) <input type="checkbox"/> Other (explain on Schedule F)</div></div>

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

**5. Education and Business Standards.**

Are there any general standards of education or business experience that applicant requires of those involved in determining or giving investment advice to clients? ..... Yes No  
☐ ☒

(If yes, describe these standards on Schedule F.)

**6. Education and Business Background.**

For:

- each member of the investment committee or group that determines general investment advice to be given to clients, or
- if the applicant has no investment committee or group, each individual who determines general investment advice given to clients (if more than five, respond only for their supervisors)
- each principal executive officer of applicant or each person with similar status or performing similar functions.

On Schedule F, give the:

- name
- year of birth
- formal education after high school
- business background for the preceding five years

**7. Other Business Activities.** (check those that apply)

- ☐ A. Applicant is actively engaged in a business other than giving investment advice.
- ☐ B. Applicant sells products or services other than investment advice to clients.
- ☐ C. The principal business of applicant or its principal executive officers involves something other than providing investment advice.

(For each checked box describe the other activities, including the time spent on them, on Schedule F.)

**8. Other Financial Industry Activities or Affiliations.** (check those that apply)

- ☐ A. Applicant is registered (or has an application pending) as a securities broker-dealer.
- ☐ B. Applicant is registered (or has an application pending) as a futures commission merchant, commodity pool operator or commodity trading adviser.
- C. Applicant has arrangements that are material to its advisory business or its clients with a related person who is a:
- |  |  |
|--|--|
| <input type="checkbox"/> (1) broker-dealer   | <input type="checkbox"/> (7) accounting firm                                       |
| <input type="checkbox"/> (2) investment company  | <input type="checkbox"/> (8) law firm  |
| <input type="checkbox"/> (3) other investment adviser  | <input type="checkbox"/> (9) insurance company or agency                           |
| <input type="checkbox"/> (4) financial planning firm   | <input type="checkbox"/> (10) pension consultant                                   |
| <input type="checkbox"/> (5) commodity pool operator, commodity trading adviser or futures commission merchant | <input type="checkbox"/> (11) real estate broker or dealer                         |
| <input type="checkbox"/> (6) banking or thrift institution   | <input type="checkbox"/> (12) entity that creates or packages limited partnerships |

(For each checked box in C, on Schedule F identify the related person and describe the relationship and the arrangements.)

- D. Is applicant or a related person a general partner in any partnership in which clients are solicited to invest? ..... Yes No  
☐ ☒

(If yes, describe on Schedule F the partnerships and what they invest in.)

**9. Participation or Interest in Client Transactions.**

Applicant or a related person: (check those that apply)

- ☐ A. As principal, buys securities for itself from or sells securities it owns to any client.
- ☐ B. As broker or agent effects securities transactions for compensation for any client.
- ☐ C. As broker or agent for any person other than a client effects transactions in which client securities are sold to or bought from a brokerage customer.
- ☐ D. Recommends to clients that they buy or sell securities or investment products in which the applicant or a related person has some financial interest.
- ☒ E. Buys or sells for itself securities that it also recommends to clients.

(For each box checked, describe on Schedule F when the applicant or a related person engages in these transactions and what restrictions, internal procedures, or disclosures are used for conflicts of interest in those transactions.)

Describe, on Schedule F, your code of ethics, and state that you will provide a copy of your code of ethics to any client or prospective client upon request.

- 10. Conditions for Managing Accounts.** Does the applicant provide investment supervisory services, manage investment advisory accounts or hold itself out as providing financial planning or some similarly termed services *and* impose a minimum dollar value of assets or other conditions for starting or maintaining an account? .....

Yes No  
☐ ☒

(If yes, describe on Schedule F.)

- 11. Review of Accounts.** If applicant provides investment supervisory services, manages investment advisory accounts, or holds itself out as providing financial planning or some similarly termed services:

- A. Describe below the reviews and reviewers of the accounts. **For reviews**, include their frequency, different levels, and triggering factors. **For reviewers**, include the number of reviewers, their titles and functions, instructions they receive from applicant on performing reviews, and number of accounts assigned each.

**I review portfolios on a continuous basis and submit formal reports quarterly to my clients. That consists of an "Investment Homily" together with a formal presentation of the portfolio on a functional basis. If a transaction occurs during that period, I explain the rationale for the sale or purchase transaction. I may also offer some investment comments over and above that if appropriate.**

**I meet with some clients 2 - 4 times per year if they have a desire for a meeting. Some clients want this service, while others don't. In effect, they do not want to get involved.**

- B. Describe below the nature and frequency of regular reports to clients on their accounts.

**This is described in "A"...**

**Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).**

**12. Investment or Brokerage Discretion.**

A. Does applicant or any related person have authority to determine, without obtaining specific client consent, the:

- |  |                                     |                                     |
|--|-------------------------------------|-------------------------------------|
|  | Yes                                 | No                                  |
| (1) securities to be bought or sold? .....               | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| (2) amount of the securities to be bought or sold? ..... | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| (3) broker or dealer to be used? .....                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| (4) commission rates paid? .....                         | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |

B. Does applicant or a related person suggest brokers to clients? ..... Yes ☒ No ☐

For each yes answer to A describe on Schedule F any limitations on the authority. For each yes to A(3), A(4) or B, describe on Schedule F the factors considered in selecting brokers and determining the reasonableness of their commissions. If the value of products, research and services given to the applicant or a related person is a factor, describe:

- the products, research and services
- whether clients may pay commissions higher than those obtainable from other brokers in return for those products and services
- whether research is used to service all of applicant's accounts or just those accounts paying for it; and
- any procedures the applicant used during the last fiscal year to direct client transactions to a particular broker in return for products and research services received.

**13. Additional Compensation.**

Does the applicant or a related person have any arrangements, oral or in writing, where it:

- |   |   |  |
|---|---|--|
| A. is paid cash by or receives some economic benefit (including commissions, equipment or non-research services) from a non-client in connection with giving advice to clients? ..... | Yes <input checked="" type="checkbox"/> | No <input type="checkbox"/>            |
| B. directly or indirectly compensates any person for client referrals? .....  | Yes <input type="checkbox"/>            | No <input checked="" type="checkbox"/> |

(For each yes, describe the arrangements on Schedule F.)

**14. Balance Sheet.** Applicant must provide a balance sheet for the most recent fiscal year on Schedule G if applicant:

- has custody of client funds or securities (unless applicant is registered or registering only with the Securities and Exchange Commission); or
  - requires prepayment of more than \$500 in fees per client and 6 or more months in advance
- Has applicant provided a Schedule G balance sheet? ..... Yes ☐ No ☒

**Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).**

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: BUREKER, CHARLES RANDOLPH		IRS Empl. Ident. No.: 562-46-1297
Item of Form (identify)	Answer	
1.D	<p>Charles Randolph Bureker d/b/a Bureker &amp; Associates provides investment services, largely oriented toward equities.</p> <p>I frequently talk or meet with managements of companies wherein I have either an existing or prospective investment interest.</p> <p><b>Fee Schedule:</b> The fee is calculated on the basis of the total market value of the client's assets placed under supervision. The fee is calculated at an annual rate of 1%, and the pro-rata portion of one-fourth (0.25%) thereof is payable in advance of each quarter. The fee may be amended by Bureker &amp; Associates upon thirty (30) days' written notice to the client.</p> <p><b>Termination:</b> The client has the right to terminate an agreement without penalty within five business days after entering into the agreement.</p> <p>A client agreement may be canceled at any time, by either party, for any reason upon receipt of written notice. Upon termination of any account, any prepaid, unearned fees will be promptly refunded, and any earned, unpaid fees will be due and payable. For example, if a client terminates a relationship before the close of a quarter, a pro rata fee would be paid to the client. If there are 12 weeks in the quarter and the relationship is terminated at the end of the sixth week, a 50% refund would be due to the client.</p> <p><b>For California Residents:</b> Subsection (j) of Rule 260.238, California Code of Regulations requires that all investment advisers disclose to their advisory clients that lower fees for comparable services may be available from other sources.</p> <p>All material conflicts of interest under California Code of Regulations Section 260.238(k) are disclosed regarding Bureker &amp; Associates, its representatives or any of its employees which could be reasonably expected to impair the rendering of unbiased and objective advice.</p> <p>There is an obvious overlap between the securities owned by the Bureker family and my clients. To avoid any conflict of interest ("front running") Bureker &amp; Associates will only buy or sell securities for family accounts on the day following the purchase or sale of those same securities for clients of Bureker &amp; Associates.</p>	

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: BUREKER, CHARLES RANDOLPH		IRS Empl. Ident. No.: 562-46-1297
Item of Form (identify)	Answer	
6.	<p><b><u>EDUCATION AND BUSINESS BACKGROUND</u></b></p> <p><b>CHARLES R. BUREKER                      BORN: 1937</b></p> <p><b>EDUCATION:</b></p> <ul style="list-style-type: none"><li>• Graduated <i>cum laude</i> from the University of San Francisco with a BS in Business in 1958.</li><li>• Attended University of San Francisco (Evening Division), pursued Accounting major 1960-1963.</li><li>• Attended San Francisco State University (Evening Division), pursued MBA program 1964-1966.</li></ul> <p><b>RECENT EMPLOYMENT HISTORY:</b></p> <ul style="list-style-type: none"><li>• Sole Proprietor, Bureker &amp; Associates 1989 - Present</li></ul>	
9.E	<p><b><u>PARTICIPATION OR INTEREST IN CLIENT TRANSACTIONS</u></b></p> <p>Bureker &amp; Associates or individuals associated with Bureker &amp; Associates may buy or sell securities identical to or different from those recommended to clients for their personal accounts. In addition, any related person(s) may have an interest or position in a certain security(ies) which may also be recommended to a client.</p> <p>As these situations present a conflict of interest, Bureker &amp; Associates has adopted a Code of Ethics which sets forth ethical standards of business conduct that Bureker &amp; Associates requires of its employees, including compliance with applicable federal and state securities laws. As a member of the CFA Institute, Bureker &amp; Associates adheres to the CFA Institute's Code of Ethics and Standards of Professional Conduct.</p> <p>Clients and prospective clients may obtain a copy of the firm's Code of Ethics upon request by contacting Bureker &amp; Associates at its principal office address.</p>	



(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: BUREKER, CHARLES RANDOLPH		IRS Empl. Ident. No.: 562-46-1297
Item of Form (identify)	Answer	
12.B	<p><b><u>DIRECTED BROKERAGE</u></b></p> <p>As Bureker &amp; Associates does not have the discretionary authority to determine the broker dealer to be used or the commission rates to be paid, clients must direct Bureker &amp; Associates as to the broker dealer to be used.</p> <p>Clients in need of brokerage and custodial services will have RBC Capital Markets, LLC recommended to them. The client has the option to accept or reject this recommendation.</p>	
13.A	<p><b><u>SOFT DOLLARS</u></b></p> <p>In certain instances full-service brokers furnish Bureker &amp; Associates with research information upon request and this may benefit some or all accounts indirectly.</p> <p>The portion of the costs of such products or services attributable to research usage may be defrayed by Bureker &amp; Associates through directing brokerage commissions generated by client transactions, (soft dollars). This may be done without prior agreement or understanding by the client (and done at Bureker &amp; Associates' discretion).</p>	