

# **RANDY K. BARKLEY**

May 12, 2011

ADV Part 2B – Supplemental Brochure

*Tricord Advisors, Inc  
6772 Magnolia Ave.  
Riverside, CA 92506  
Phone: (951) 684-7011  
Website: [www.retirementunlimited.com](http://www.retirementunlimited.com)*

**This Brochure Supplement provides information about Randy K. Barkley that supplements the Tricord Advisors, LLC's Brochure. You should have received a copy of that Brochure. Please contact Mr. Barkley at (951) 684-7011 if you did not receive Tricord Advisors, LLC's Brochure or if you have any questions about the contents of this supplement.**

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

## ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Randy Barkley - President**

**Born:** 1952

**Education:** *South Dakota University* – 1970 – 1971

*Pillsbury Baptist Bible College* – 1971 – 1973

***CFP® - Certified Financial Planner™***

*Issued by:* Certified Financial Planner Board of Standards, Inc.

*Prerequisites/Experience Required:* Candidate must meet the following requirements:

- A bachelor's degree (or higher) from an accredited college or university, and
- 3 years of full-time personal financial planning experience

*Educational Requirements:* Candidate must complete a CFP-board registered program, or hold one of the following:

- CPA
- ChFC
- Chartered Life Underwriter (CLU)
- CFA
- Ph.D. in business or economics
- Doctor of Business Administration
- Attorney's License

*Examination Type:* CFP Certification Examination

*Continuing Education/Experience Requirements:* 30 hours every 2-years

### **Business Background:**

***Tricord Advisors, Inc.*** – Nov. 2010 – Present

- President/Shareholder
- Investment Adviser Representative

***Liberty Group, LLC*** – March 2005 – April 2011

- Registered Representative
- Investment Adviser Representative

***PrimeVest Financial Services*** – Jan. 2002 – April 2005

- Registered Representative

***Granite Investment Services*** – July 2000 – Jan. 2002

- Registered Representative

### **ITEM 3 – DISCIPLINARY HISTORY**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this Item.

### **ITEM 4 – OTHER BUSINESS ACTIVITIES**

A. Investment Related Other Business Activities: Mr. Barkley is a licensed as independent insurance agents and he earns commission-based compensation for selling insurance products. Insurance commissions earned by Mr. Barkley are separate and in addition to our advisory fees. This practice presents a conflict of interest because he has an incentive to recommend insurance products to you for the purpose of generating commissions rather than solely based on your needs. However, you are under no obligation, contractually or otherwise, to purchase insurance products through Mr. Barkley.

Randy Barkley is a licensed real estate agent. Mr. Barkley may provide real estate consulting services to both clients and non-clients. The fees for real estate consulting services, which are generally on an hourly basis, are negotiable and will depend on the scope and complexity of the services performed and the fees are separate and apart from the advisory fees charged by our firm. This creates a conflict of interest because it creates a financial incentive to recommend these services. We mitigate this conflict of interest with the policy that clients are free to use any real estate consulting service and they not required to use Mr. Barkley's real estate consulting services.

B. Non-Investment Related Other Business Activities: Mr. Barkley is a licensed automobile wholesaler. He spends less than 12 days a year on this activity.

### **ITEM 5 – ADDITIONAL COMPENSATION**

Mr. Barkley does not receive any additional compensation.

### **ITEM 6 – SUPERVISION**

Mr. Barkley is the President of Tricord Advisors, LLC. Therefore he does not have a direct supervisor. However, Mr. Barkley is bound by the firm's Code of Ethics.

### **ITEM 7 – REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

#### **A. Arbitration or Civil, Self-Regulatory Organization or Administrative Proceedings History**

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
  - a. An investment or an investment-related business or activity;
  - b. Fraud, false statement(s), or omissions;
  - c. Theft, embezzlement, or other wrongful taking of property;
  - d. Bribery, forgery, counterfeiting, or extortion; or
  - e. Dishonest, unfair, or unethical practices.

Mr. Barkley has not been the subject of any arbitration claim.

2. An award of otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
  - a. An investment or an investment-related business or activity;
  - b. Fraud, false statement(s), or omissions;
  - c. Theft, embezzlement, or other wrongful taking of property;
  - d. Bribery, forgery, counterfeiting, or extortion; or
  - e. Dishonest, unfair, or unethical practices.

Mr. Barkley has not been the subject of any civil, self-regulatory or administrative proceeding.

**B. Bankruptcy History**

Mr. Barkley has not been the subject of a bankruptcy petition.