

*This brochure supplement provides information about George Ernest Stratmann, Jr. that supplements the BDT & Associates, Inc. brochure. You should have received a copy of that brochure. Please contact George Ernest Stratmann Jr. if you did not receive BDT & Associates, Inc.'s brochure or if you have any questions about the contents of this supplement.*

*Additional information about George Ernest Stratmann, Jr. is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

## **BDT & Associates, Inc.**

d/b/a Invicta Financial Group

### **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

## **George Ernest Stratmann, Jr.**

Personal CRD Number: 2712567

Investment Adviser Representative

BDT & Associates, Inc.  
11440 West Bernardo Court Suite 300  
San Diego, CA 92127  
(858) 753-1728  
[chip@invictafg.com](mailto:chip@invictafg.com)

UPDATED: 11/28/2018

## **Item 2: Educational Background and Business Experience**

**Name:** George Ernest Stratmann, Jr.      **Born:** 1952

### **Educational Background and Professional Designations:**

#### **Education:**

Bachelor of Science - Oceanography/Physical Science  
United States Naval Academy - 1975

#### **Business Background:**

01/2018 - Present	Investment Adviser Representative BDT & Associates, Inc.
07/2013 – 08/2018	Investment Adviser Representative Cambridge Investment Research Advisors, Inc.
07/2013 – 12/2017	Financial Advisor BDT and Associates, Inc
03/1996 - 06/2013	Financial Advisor First Command Financial Services

## **Item 3: Disciplinary Information**

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

#### **Item 4: Other Business Activities**

George Ernest Stratmann, Jr. is a licensed insurance agent of George Ernest Stratmann, Jr. sole proprietor since March 1996. He is an independent insurance agent that sells services for health and life insurance. From time to time, he will offer clients advice or products from this activity. Clients should be aware that these services pay a commission and involve a possible conflict of interest, as commissionable products can conflict with the fiduciary duties of a registered investment adviser. BDT & Associates, Inc. always acts in the best interest of the client; including in the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of BDT & Associates, Inc. in their capacity as a licensed insurance agent. George Ernest Stratmann, Jr. receives \$5,000 per year in compensation and spends 4 - 10 hours a month on this activity.

George Ernest Stratmann, Jr. is a property owner with timber, oil & gas production that will produce periodic income. George Ernest Stratmann, Jr. owns real estate where he receives rental income.

George Ernest Stratmann, Jr. is the owner of Stratmann & Associates, Inc. since December 2016. This is a single owner corporation established to pay all appropriate payroll taxes and federal and state income taxes for advisory businesses. George Ernest Stratmann, Jr. receives no compensation and spends 1 -2 hours a month on this activity.

George Ernest Stratmann, Jr. is the trustee of his own trust The Stratmann Family Trust. He received no compensation for this activity and spends 1 hour a month on this activity.

#### **Item 5: Additional Compensation**

George Ernest Stratmann, Jr. does not receive any economic benefit from any person, company, or organization, other than BDT & Associates, Inc. in exchange for providing clients advisory services through BDT & Associates, Inc.

#### **Item 6: Supervision**

As a representative of BDT & Associates, Inc., George Ernest Stratmann, Jr. is supervised by Kimberly K. Davis, the firm's Chief Compliance Officer. Kimberly K. Davis is responsible for ensuring that George Ernest Stratmann, Jr. adheres to all required regulations regarding the

activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Kimberly K. Davis is (928) 344-8000.

### **Item 7: Requirements For State Registered Advisers**

*This disclosure is required by state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

A. George Ernest Stratmann, Jr. has not been involved in any of the events listed below.

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.
2. An award or 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.

B. George Ernest Stratmann, Jr. has not been the subject of a bankruptcy petition.