

*This brochure supplement provides information about Howard Farrant Barker that supplements the BDT & Associates, Inc. brochure. You should have received a copy of that brochure. Please contact Howard Farrant Barker 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 Howard Farrant Barker is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

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

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

*for*

### **Howard Farrant Barker**

Personal CRD Number: 6918037

Investment Adviser Representative

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

UPDATED: 10/01/2018

## Item 2: Educational Background and Business Experience

**Name:** Howard Farrant Barker

**Born:** 1958

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

#### **Education:**

Masters Public Administration, Auburn of Montgomery - 1997

Bachelor of Science Electrical Engineering, US Naval Academy - 1980

#### **Business Background:**

06/2018 - Present	Investment Adviser Representative BDT & Associates, Inc.
04/2018 - 05/2018	Retired N/A
04/2008 - 04/2018	Director Engineering Northrop Grumman

## 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

Howard Farrant Barker is a licensed insurance agent. 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.

## **Item 5: Additional Compensation**

Howard Farrant Barker 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., Howard Farrant Barker is supervised by Kimberly K. Davis, the firm's Chief Compliance Officer. Kimberly K. Davis is responsible for ensuring that Howard Farrant Barker 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. Howard Farrant Barker 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. Howard Farrant Barker has not been the subject of a bankruptcy petition.