

## Strait & Sound

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October 12, 2020

This brochure provides information about the qualifications and business practices of Strait & Sound. If you have any questions about the contents of this brochure, please contact us at the telephone number and/or e-mail address above. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or any state securities authority. Our e-mail for regulatory compliance is [cco@straitandsound.com](mailto:cco@straitandsound.com).

Strait & Sound is a registered investment advisor. Registration of an investment advisor does not imply any level of skill or training. The verbal and written communications of an investment advisor provide you with information you need to determine whether to hire or retain the advisor.

Additional information about Strait & Sound is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

The CRD number for Strait & Sound is 309306

## Strait & Sound

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The initial submission of this Disclosure Brochure was dated May 9, 2020.

Please contact us at (415) 913-9692 or [tsixt@straitandsound.com](mailto:tsixt@straitandsound.com) if you would like a copy of our updated Part 2. Additional information about us is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## ITEM 3

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## **ITEM 4: ADVISORY BUSINESS**

### **Who we are**

Strait & Sound Wealth Management LLC dba Strait & Sound (referred to as “we,” “our,” or “us”), was formed in March 2020 has been registered as an investment advisor with the SEC since June 2020. Strait & Sound is owned by Todd Sixt, Chief Executive Officer, through Hamilton Advisors LLC, Mel Lee, Assistant to the CEO, through Hamilton Advisors LLC, and by Daniel Barnes, Chief Investment Officer through Barnes Capital Inc. In October 2020, we sought to register with the individual states instead of a federal registration, for which we no longer qualified.

### **Investment Management Services**

We offer wealth management on a discretionary and non-discretionary basis. Most services are on a discretionary basis. However, due to the complex nature of many clients lives, we inherently consider non-discretionary assets in crafting, guiding and creating strategies for management and planning.

We often conduct discovery process in the beginning of a client relationship. We document their profiles and preferences so that we may align their expectations with our strategies and planning to achieve their financial and life goals.

Clients may impose reasonable restrictions on investments in certain securities or types of securities. Any investment restrictions will be confirmed in writing with the client.

We do not provide portfolio management services to a wrap fee program.

### **Investment Consulting Services**

Investment Management derives its mandate from the discovery of client information. It is this information which includes the values, goals, relationships, assets, experiences, and interests which informs the investment policy statement and investment action plan of the Investment Management at Strait & Sound. The scope of this includes financial planning, retirement planning, financial analysis of assets and liabilities, portfolio design, goals assessment, cash flow analysis, historical assessments, charitable planning strategies, tax optimization strategies, asset protection strategies, and review of other aspects relevant to the investment decision making process which stewards of wealth need to make good decisions.

Most clients agree to an investment management agreement whereby they pay a percentage of their assets under management to our firm quarterly. Upon occasion and as an exception to our standard business practice we maintain the discretion to accept clients on an hourly consulting basis.

The scope of the hourly work we perform for such clients can be wide ranging. In essence, we are providing the appropriate due diligence and discovery necessary to advise and guide and make recommendations and provide investment strategy and guidance, similar to our investment management clients.

## Assets under management

As of October 5, 2020, we manage assets of \$56.4 million on a discretionary basis. We do not manage assets on a non-discretionary basis.

## ITEM 5: FEES AND COMPENSATION

### Investment Management Services

#### Advisory Fees & Billing Practices

Fees for investment management are generally 0.5 - 1.5% per year of the assets under management, as disclosed in the following table:

<u>Assets between</u>	<u>Annual Fee</u>
\$0 – \$ 300,000	1.50%
\$300,000 – \$ 600,000	1.30%
\$600,000 – \$ 1,200,000	1.10%
\$1,200,000 – \$ 2,400,000	1.00%
\$2,400,000 – \$ 5,000,000	0.90%
\$5,000,000 – \$10,000,000	0.80%
Assets over \$10,000,000	negotiable

These fees are billed at the beginning of each quarter, based on the assets under management as of the last day of the previous calendar quarter. We may negotiate lower fees for friends, family and clients we, in our sole discretion, find to be beneficial to our business. Lower fees may also be negotiated with clients that allow a reduced scope and complexity of the services provided.

Clients who engaged the services of our investment adviser representatives while they were working at previous advisors will generally continue paying the fees they agreed upon at that advisor. When the fees at the previous adviser exceed the fees charged at Strait and Sound, clients will be asked to agree with the above-mentioned fee schedule.

We generally require that you provide authorization for us to deduct our fees directly from your investment account. Following are important disclosures about the deduction of management fees:

- You must provide authorization for us to deduct fees by initialing the appropriate section of our contract.
- You will receive a detailed invoice each quarter which includes the fee, the formula used to calculate the fee, the time period covered by the fee, and the amount of assets under management on which the fee was based. This invoice will be sent to you at the same time a request for payment is sent to the Custodian.
- You will receive a statement from your custodian which shows all transactions in your account, including the deduction of our fee. We urge that you to compare this information with the fees listed in the account statement.

- You are responsible for reviewing the accuracy of the fees being billed, as the custodian will not do so.

In limited circumstances we may agree to allow clients to pay by check rather than deducting payment directly from the client account.

Clients may end our advisory relationship by providing written notice. We will prorate the advisory fees earned through the termination date and send you a refund of the prepaid, unearned portion of your fee. We process refund payments within 30 days of the termination date and will send you a check or refund your investment account.

#### Other Costs Involved

In addition to our advisory fee shown above, you are responsible for paying fees associated with investing for your account. These fees include:

- mutual fund loads (if applicable). These charges are paid to brokers as a form of commission.
- management fees for ETFs and mutual funds. These are fees charged by the managers of the ETF or mutual fund and are a portion of the expenses of the ETF or mutual fund.
- brokerage costs and transaction fees for any securities or fixed income trades. These are generally charged by your custodian and/or executing broker.

Additional information about brokerage costs and services is provided in “Item 12: Brokerage Practices.”

When a client relationship begins on other than the first day of a billing period, fees will be pro-rated based on the number of days the assets are managed, as described above.

### Investment Consulting

Investment Consulting services are provided for no additional fee to our investment management clients. When Investment Consulting services are provided to clients who opt not to engage us for Asset Management services, we charge an hourly fee of \$500. Investment Consulting only clients will receive an invoice upon completion of the engagement that is payable upon receipt. You may pay for investment consulting services by check or electronic transfer.

You may cancel our investment consulting agreement at any time by providing written notice. Upon cancellation, we will present you with an invoice for time spent. This invoice is payable upon receipt. We will provide copies of all prepared documents, reports, and calculations, if any, if requested.

Providing Investment Consulting services creates a conflict of interest because we would receive additional fees if you implement recommendations through us. You are under no obligation to implement recommendations that are part of the Investment Consulting services through Strait & Sound, or at all. You may use other brokers or agents that are not affiliated with us.

We believe the fees mentioned above are competitive; however, you may be able to obtain similar services from other sources at a lower price.

We are paid for our services by you only. We may receive discounts from other parties as described in Item 12: Brokerage Practices below because our clients' accounts are custodied and traded there. We do not receive other compensation for the sale of securities or other investment products, other than the proceeds from trading in our own personal and company accounts.

## **ITEM 6: PERFORMANCE-BASED FEES AND SIDE-BY-SIDE MANAGEMENT**

We do not receive performance fees for managing accounts.

## **ITEM 7: TYPES OF CLIENTS**

Our clients are typically individuals, high net worth individuals and business entities. Generally, we require that you place \$500,000 under management with us. However, we may waive that minimum at our sole discretion.

## **ITEM 8: METHODS OF ANALYSIS, INVESTMENT STRATEGIES AND RISK OF LOSS**

We use a mosaic approach to analyze secular change and craft asset allocation strategies for each client portfolio. Historical valuation metrics and behavioral analysis are considered as are technical and contrarian indicators. Effort is made to choose assets which are less correlated with each other in times of market stress. Each account is considered as a constituent part of the household's overall investment allocation. Research endeavors to uncover asset classes which are safely investable while adding diversification benefits to portfolios.

**Bond Allocations** – fixed income carries many risks, credit, interest rate, sector and ETF liquidity concerns. To mitigate these risks we invest in general obligation municipal bonds which carry very low credit risk. We also invest in seasoned managers in the corporate sector and our emphasis is to buy value where we can find it. Bond allocations represent a critical component of the capital preservation strategy in real terms.

**Equity Allocations** –We are all-weather investment managers. We consider a wide variety of investment assets. Most of them are liquid public securities. These include stocks, ETFs, mutual and close end funds and high yield securities which we believe carry risk commensurate with equity risk. Mutual funds are highly diversified, so security specific risk is lower. However, they are subject to withdrawals which can compel the manager to sell securities it does not wish to and produce undesirable results. We mitigate against this risk by using an ultra high scrutiny of mutual funds. We have developed some expertise working with multi-family apartment experts. These investments are structured as limited partnerships and we have great confidence in the management company we partner with. We use these allocations for "equity risk" in some client portfolios. As a developing wealth management ensemble we expect to continue to broaden our investment offerings as our client profile shifts upstream to a greater percentage of high net worth households.

All investments involve different degrees of risk. You should be aware of your risk tolerance level and financial situation at all times. While we cannot guarantee the successful performance of an investment and we are expressly prohibited from guaranteeing accounts against losses arising from market conditions, we do work closely with clients to assess their actual risk tolerance and design portfolios accordingly. Your investments are subject to a risk of loss that you should be prepared to bear.

## **ITEM 9: DISCIPLINARY INFORMATION**

Registered investment advisors are required to disclose any material facts regarding any legal or disciplinary actions that would be material to your evaluation of the investment advisor and each investment advisor representative providing investment advice to you. We have no information of this type to report.

## **ITEM 10: OTHER FINANCIAL INDUSTRY ACTIVITIES AND AFFILIATIONS**

Daniel Barnes is also the President of Barnes Capital, Inc., a registered investment advisor. Barnes Capital has entered into an arrangement with RB Capital Management, LLC, a federally registered investment advisor. This agreement allows it to offer additional investment opportunities to its clients at a lower rate than would be available when offered through Barnes Capital directly. As part of this arrangement, Mr. Barnes is the portfolio manager at RB Capital Management, LLC for these accounts.

Other than mentioned above, neither we, nor any of our principals, have other financial industry affiliations that need to be disclosed here.

## **ITEM 11: CODE OF ETHICS, PARTICIPATION OR INTEREST IN CLIENT TRANSACTIONS AND PERSONAL TRADING**

### **Code of Ethics**

We have adopted a set of enforceable guidelines (Code of Ethics), which describes unacceptable conduct by Strait & Sound and our associated persons. Summarized, this Code of Ethics prohibits us from:

- placing our interests before yours,
- using non public information gathered when providing services to you for our own gains, or
- engaging in any act, practice or course of business that is, or might be considered, fraudulent, deceptive, manipulative, or in violation of any applicable law, rule or regulation of a governmental agency.

Please contact us if you would like to receive a full copy of this Code of Ethics.

### **Personal Trading for Associated Persons**

We may buy or sell some of the same securities for you that we already hold in our personal account. We may also buy for our personal account some of the same securities that you already hold in your account. It is our policy not to permit our associated persons (or their immediate relatives) to trade in a way that takes advantage of price movements caused by your transactions.

We may restrict trading for a particular security for our accounts or those of our associated person if there is a pending trade in that security in a client account. Trades for our accounts (and those of our associated persons) will be placed as part of a block trade with client trades, or individually after client trades have been completed. Additional information about block trades is provided in the Aggregation of Orders section of “Item 12: Brokerage Practices.” When our trades are placed after our client trades, we may receive a better or worse price than that received by the client.



Strait & Sound and its associated persons may purchase or sell specific securities for their own account based on personal investment considerations without regard to whether the purchase or sale of such security is appropriate for clients.

All persons associated with us are required to report all personal securities transactions to us quarterly.

Neither Strait & Sound, nor any of its affiliated persons have affiliations or arrangements with issuers of securities that may be recommended to clients.

## **ITEM 12: BROKERAGE PRACTICES**

### **Selection of Brokers**

In selecting brokers to execute portfolio transactions, we make a good faith judgment of about which broker would be appropriate. We take into consideration not only the available prices and rates of brokerage commissions, but also other relevant factors that may include (without limitation):

- the execution capabilities of the broker/dealer,
- research (including economic forecasts, investment strategy advice, fundamental and technical advice on individual securities, valuation advice and market analysis),
- custodial and other services provided by the broker/dealer that are expected to enhance our general portfolio management capabilities,
- the size of the transaction,
- the difficulty of execution,
- the operational facilities of the broker-dealers involved,
- the risk in positioning a block of securities, and
- the quality of the overall brokerage and research services provided by the broker/dealer.

When we select the broker/dealer for a transaction, we may cause you to pay a higher commission for effecting a transaction than another broker/dealer would have charged for effecting that transaction. We do this if we determine in good faith that the amount of the commission is reasonable in relation to the value of the brokerage services provided by the broker/dealer. The determination is viewed in terms of either the particular transaction or our overall responsibilities to you. We do not receive client referrals from the broker/dealers we select for transactions, or from the custodians we recommend to clients. Our investment adviser representatives are comfortable working with broker dealers that they have experience with, that meet the above description, and which they feel comfortable recommending to their clients. Even though Mr. Sixt likes to recommend that his clients use TD Ameritrade, Inc., and Mr. Barnes likes to recommend Pershing LLC, we will consider your preferences in selecting appropriate broker dealers and custodians for your portfolio.

### **Aggregation of Orders**

When investments held in multiple accounts need to be purchased or sold, these portfolio transactions will generally be executed as part of concurrent authorizations covering the same security for another client or one or more of our associated persons, as much as possible.

When we block (aggregate) trades for your account with those of other client accounts and personal accounts of persons associated with Strait & Sound, all participants included in the block receive the same price per share on the trade. The price is calculated by averaging the price of all of the shares traded. Due to the averaging of price over all of the participating accounts, aggregated trades could be either advantageous or disadvantageous. Commission costs are not averaged. You will pay the same commission whether your trade is placed as part of a block or on an individual basis. The objective of the aggregated orders will be to allocate the executions in a manner that is deemed equitable to the accounts involved.

Not all trades can be aggregated, as different broker/dealers may be used for transactions in different clients' accounts. When this happens, some clients will pay a higher price for the same investment.

## Soft Dollars

The receipt of goods and/or services from the required custodian in connection with providing advice to clients is seen by the regulators as "soft dollars." The additional services we receive from custodians, as disclosed in Item 14 below, would fall under this description of soft dollars.

## Directed Brokerage

While we do not recommend (either in favor or against), request, or require that you designate a broker dealer, you may instruct us to execute any or all securities transactions for your account with or through one or more broker/dealers designated by you. In these cases, you are responsible for negotiating the terms and conditions (including, but not limited to, commission rates) relating to all services to be provided by the broker/dealers and you are satisfied with the terms and conditions. We have no responsibility for obtaining the best prices or any particular commission rates for transactions with or through the broker/dealer in these situations. You recognize that you may not obtain rates as low as you might otherwise obtain if we had discretion to select broker/dealers other than those chosen by you, and that this may cost you more money. If we believe, in our exclusive discretion, that we cannot satisfy our fiduciary duty of best execution by executing a transaction for your account with a broker/dealer designated by you, we may execute that transaction with a different broker/dealer. If you would like us to cease executing transactions with or through the designated broker/dealer you must notify us in writing.

## ITEM 13: REVIEW OF ACCOUNTS

We review each client's accounts at least annually. We compare the asset allocation to the clients' investment policy statement and household objectives. Reviews are performed by Todd Sixt, CEO, and Daniel Barnes, CIO. We monitor the investments in our clients' accounts continuously for changes that would make them unsuitable, and will replace unsuitable investments when this occurs.

Our technology enables reports to be created by clients at any time. You will receive quarterly written reports containing standard investment review data including income, realized and unrealized gains/losses, cost basis and allocation. A written analysis including any changes are provided annually and upon request. In addition, reports will be downloadable to each client.

## ITEM 14: CLIENT REFERRALS AND OTHER COMPENSATION

We receive economic benefits from custodians that we use to execute trades in client accounts. These benefits include the following products and services (provided without cost or at a discount):

- receipt of duplicate client statements and confirmations;
- research related products and tools;
- access to a trading desk serving investment advisor participants;
- access to block trading (which provides the ability to aggregate securities transactions for execution and then allocate the appropriate shares to client accounts);
- the ability to have advisory fees deducted directly from client accounts;
- access to an electronic communications network for client order entry and account information; and
- access to mutual funds with no transaction fees and to certain institutional money managers.

We do not directly or indirectly compensate anyone for client referrals.

## **ITEM 15: CUSTODY**

If you give us authority to deduct our fees directly from your separately managed account, we have custody of those assets. In order to avoid additional regulatory requirements in these cases, we follow the procedures outlined in “Item 5: Fees and Compensation.” You will also receive quarterly statements directly from custodian of the account that details all transactions in the account. We recommend that you compare our invoices with the account statements you receive from your custodian.

For accounts where the client has a standing letter of authorization that allows us to transfer money between accounts specified by the client, we are also deemed to have custody. We follow the guidance outlined in the Investment Adviser Association no-action letter dated February 21, 2017, for these accounts. A copy of this letter is available upon request.

At no time do we accept physical custody of client assets.

## **ITEM 16: INVESTMENT DISCRETION**

You may provide discretionary authority for us to manage your assets. Discretionary authority means that you are giving us a limited power of attorney to place trades on your behalf. This limited power of attorney does not allow us to withdraw money from your account, other than advisory fees if you agree to give us that authority.

You grant us discretionary authority by completing the following items:

- Sign a contract with us that provides a limited power of attorney for us to place trades on your behalf. Any limitations to the trading authorization will be added to this agreement.
- Provide us with discretionary authority on the new account forms that are submitted to the broker/dealer acting as custodian for your account(s).

We also offer non-discretionary advisory services. If you elect to engage us to manage assets on a non-discretionary basis, we will contact you before each trade is placed in your account.

Clients may and do ask us to avoid certain industries, companies and infrequently, asset classes. We attempt to honor these requests. Some investments we recommend to clients may have affiliations with industries and companies that are not easily determined.

## **ITEM 17: VOTING CLIENT SECURITIES**

We do not accept the authority to vote proxies on your behalf and we do not provide guidance about how to vote proxies. You will receive proxies and other related paperwork directly from your custodian.

## **ITEM 18: FINANCIAL INFORMATION**

We do not charge or solicit pre-payment of more than \$500 in fees per client six months or more in advance. We have never filed for bankruptcy and are not aware of any financial conditions that are reasonably likely to impair our ability to meet our contractual obligations to clients.

## **ITEM 19: REQUIREMENTS FOR STATE-REGISTERED ADVISORS**

### **Principal Executive Officers and Management Persons**

Our principal executive officers are Todd Sixt, Chief Executive Officer, and Daniel Barnes, Chief Investment Officer. Additional information regarding the education and business background for Messrs. Sixt and Barnes is provided on their individual Part 2B.

Neither Strait & Sound nor any management person has been involved in any of the items listed below.

- An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following: 1) an investment or an investment-related business or activity; 2) fraud, false statement(s), or omissions; 3) theft, embezzlement, or other wrongful taking of property; 4) bribery, forgery, counterfeiting, or extortion; or 5) dishonest, unfair, or unethical practices.
- An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: 1) an investment or an investment-related business or activity; 2) fraud, false statement(s), or omissions; 3) theft, embezzlement, or other wrongful taking of property; 4) bribery, forgery, counterfeiting, or extortion; or 5) dishonest, unfair, or unethical practices.

### **California Disclosure Requirements**

In our opinion, all material conflicts of interest regarding Strait & Sound, our representatives or any of our employees which could reasonably be expected to impair our rendering of unbiased and objective advice to an advisory client under Section 260.238(k) of the California Code of Regulations have been disclosed.

Neither Mr. Sixt, Mr. Barnes, nor Strait & Sound has a relationship or arrangement with an issuer of securities other than Strait & Sound and those disclosed in Item 10 above.

Strait & Sound is not compensated, nor does it compensate its supervised persons, for advisory services with fees that are based on the gains made in clients' accounts.

**BROCHURE SUPPLEMENT**  
**ITEM 1: COVER SHEET**

**Daniel A. Barnes**

**Strait & Sound**  
P.O. Box 22391  
San Francisco, CA 94122  
(206) 420-7775

October 12, 2020

This Brochure Supplement provides information about Daniel A. Barnes that supplements the Strait & Sound Brochure. You should have received a copy of that Brochure. Please contact Todd Sixt, Chief Executive Officer, at (415) 913-9692 or [tsixt@straitandsound.com](mailto:tsixt@straitandsound.com) if you did not receive Strait & Sound's Brochure or if you have any questions about the content of this supplement.

Additional information about Daniel A. Barnes is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). Mr. Barnes' CRD number is 5143840.

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**ITEM 2: EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE**

Daniel A. Barnes was born in 1968. He received a BA in Government/International Relations from University of Notre Dame in 1989 and a MA in Political Science from Ludwig-Maximilians-Universitaet, Munich, Germany in 1995.

**Employment Background**

3/2020 - Present	Strait & Sound Investment Advisor, Chief Compliance Officer
7/2013 - Present	Barnes Capital, Inc. Investment Advisor, Chief Investment Officer and CEO
10/2006 - Present	RB Capital Management, LLC Investment Advisor, Portfolio Manager
4/2006 - 7/2013	Barnes Capital LLC Investment Advisor, Chief Investment Officer and CEO

## Professional Designations

### Chartered Financial Analyst (CFA) – 2002

The CFA Charterholder designation is issued by the CFA Institute. In order to receive this designation, a candidate must have either: 1) an undergraduate degree and 4 years of professional experience involving investment decision-making, or 2) 4 years qualified work experience (full time, but not necessarily investment related). Each candidate must complete a self-study program of 250 hours of study for each of the 3 levels. Once a candidate passes each of the three 6-hour exams and meets the appropriate experience requirements the CFA charterholder designation may be used. There are no continuing education requirements.

## ITEM 3: DISCIPLINARY INFORMATION

Registered investment advisors are required to disclose any material facts regarding any legal or disciplinary actions that would be material to your evaluation of each investment advisor representative providing investment advice to you. There is no information of this type to report.

## ITEM 4: OTHER BUSINESS ACTIVITIES

Mr. Barnes is the owner and Chief Investment Officer for Barnes Capital Inc., a state-registered investment advisory firm. He is also a portfolio manager for RB Capital Management, LLC, an investment advisor registered with the SEC. In this capacity, he acts as the subadvisor portfolio manager for clients of Barnes Capital.

## ITEM 5: ADDITIONAL COMPENSATION

Mr. Barnes does not receive any economic benefit from any non-client for providing advisory services.

## ITEM 6: SUPERVISION

Todd Sixt, Chief Operating Officer, is responsible for the supervision of Mr. Barnes. His telephone number is (415) 913-9692.

## ITEM 7: REQUIREMENTS FOR STATE-REGISTERED

Investment advisors who are registered with a state regulatory agency rather than the SEC are required to provide information about a wider range of disciplinary information than that described above. Mr. Barnes has not filed for personal bankruptcy and has no disciplinary information to report.

**BROCHURE SUPPLEMENT**  
**ITEM 1: COVER SHEET**

Todd A. Sixt

**Strait & Sound**

P.O. Box 22391  
San Francisco, CA 94122  
(415) 913-9692

October 12, 2020

This Brochure Supplement provides information about Todd A. Sixt that supplements the Strait & Sound Brochure. You should have received a copy of that Brochure. Please contact Todd Sixt, Chief Executive Officer, at (415) 913-9692 or [tsixt@straitandsound.com](mailto:tsixt@straitandsound.com) if you did not receive Strait & Sound's Brochure or if you have any questions about the content of this supplement.

Additional information about Todd A. Sixt is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). Mr. Sixt's CRD number is 2829082.

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**ITEM 2: EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE**

Todd A. Sixt was born in 1968. He received a B.A. in history from Miami University in 1994.

**Employment Background**

Employment Dates: 8/2020 – Present  
Firm Name: Strait & Sound  
Type of Business: Investment Adviser  
Job Title & Duties: Chief Operating Officer

Employment Dates: 5/2020 – 09/2020  
Firm Name: Mutual Advisors, LLC.  
Type of Business: Investment Adviser  
Job Title & Duties: Investment Adviser Representative

**Employment Background** (continued)

Employment Dates: 10/2015 – 5/2020  
Firm Name: Alpha Cubed Investments LLC  
Type of Business: Investment Adviser  
Job Title & Duties: Partner/ Investment Adviser Representative

Employment Dates: 8/2015 – 10/2015  
Firm Name: Protected Advisors of America  
Type of Business: Investment Adviser  
Job Title & Duties: Financial Advisor

**ITEM 3: DISCIPLINARY INFORMATION**

Registered investment advisors are required to disclose any material facts regarding any legal or disciplinary actions that would be material to your evaluation of each investment advisor representative providing investment advice to you. There is no information of this type to report.

**ITEM 4: OTHER BUSINESS ACTIVITIES**

Todd Sixt is not involved in any other business activities.

**ITEM 5: ADDITIONAL COMPENSATION**

Mr. Sixt does not receive any economic benefit from any non-client for providing advisory services.

**ITEM 6: SUPERVISION**

Daniel Barnes, Chief Investment Officer, is responsible for the supervision of Mr. Sixt. His telephone number is (206) 420-7775.

**ITEM 7: REQUIREMENTS FOR STATE-REGISTERED**

Investment advisors who are registered with a state regulatory agency rather than the SEC are required to provide information about a wider range of disciplinary information than that described above. Mr. Sixt has not filed for personal bankruptcy and has no disciplinary information to report.