



James T. Barker

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**FORM ADV PART 2B
BROCHURE SUPPLEMENT**

This brochure supplement provides information about James T. Barker that supplements the Apella Capital, LLC, DBA Apella Wealth (“Apella”) brochure. You should have received a copy of that brochure. Please contact Timothy Richards at 860-785-2260 if you did not receive the brochure or if you have any questions about the contents of this supplement.

Additional information about James T. Barker is available on the SEC’s website at www.adviserinfo.sec.gov. His individual CRD number is 1622909.

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Educational Background and Business Experience

Form ADV Part 2B, Item 2

James T. Barker

Year of Birth: 1960

Formal Education after High School:

- Chartered Financial Consultant (ChFC) and Chartered Life Underwriter (CLU) designations from the American College, Bryn Mawr, PA.
- Retirement Plans Certification from the International Foundation of Employee Benefit Plans (IFEBP) and the Wharton Business School at the University of Pennsylvania.
- Associate degrees from the University of Maine in Resource Business Management and Agriculture Technology.
- Mr. Barker expanded his background at Bentley College in Economics and Finance.

Employment History:

Barker Financial Group, Inc. President and Chief Compliance Officer	1997 to 2024
Jefferson Pilot Securities Corporation Registered Securities Principal	2000 to 2003
Polaris Financial Services, Inc. (Acquired by JPSC) Registered Securities Principal	1998 to 2000
Nathan and Lewis Securities Corporation Inc. Registered Representative	1997 to 1998
Nathan and Lewis Securities Corporate, RIA Investment Advisor Representative	1997 to 1998

Certifications:

ChFC® - Chartered Financial Consultant®. The Chartered Financial Consultant® (ChFC®) program prepares the ChFC® to meet the advanced financial planning needs of individuals, professionals and small business owners. The ChFC® gains a sustainable advantage in this competitive field with in-depth coverage of the key financial planning disciplines, including insurance, income taxation, retirement planning, investments and estate planning. The ChFC® program requires three years of full-time, relevant business experience, nine two-hour course specific proctored exams, and 30 hours of continuing education every two years. Holders of the ChFC® designation must adhere to The American College's Code of Ethics.

Program Learning Objectives:

- Function as an ethical, competent and articulate practitioner in the field of financial planning
- Utilize the intellectual tools and framework needed to maintain relevant and current financial planning knowledge and strategies
- Apply financial planning theory and techniques through the development of case studies and solutions
- Apply in-depth knowledge in a holistic manner from a variety of disciplines; namely, estate planning, retirement planning or non-qualified deferred compensation

CLU® – Chartered Life Underwriter®. Chartered Life Underwriter® (CLU®) is a designation of insurance expertise, helping gain a significant advantage in a competitive market. This course of study helps by providing in-depth knowledge on the insurance needs of individuals, business owners and professional clients

Program Learning Objectives:

- Provide guidance to clients on types and amounts of life insurance needed
- Make recommendations on aspects of risk management, including personal and business uses of a variety of insurance solutions
- Provide guidance to clients on legal aspects of life insurance contracts and beneficiaries
- Assist clients in making decisions about estate planning, including proper holding of assets and title to assets, as well as the implications of various wills and trust arrangements on financial, retirement and succession planning issues
- Provide a holistic and comprehensive approach to addressing the insurance planning needs of clients

CEBS® – Certified Employee Benefit Specialist®. Certified Employee Benefit Specialist® (CEBS®) is a designation of employee benefit expertise that is recognized for the depth and relevance of critical knowledge in employee benefits. CEBS® is administered by the International Foundation of Employee Benefit Plans in partnership with the Wharton School of the University of Pennsylvania.

Program Learning Objectives:

- Pension plan administration
- Taxation of Employee Benefits
- ERISA Regulatory Framework
- ERISA in Practice
- Retirement Plan Documentation Requirements
- Employee benefits
- Compensation planning
- Health Care Coverage in Retirement

Disciplinary Information

Form ADV Part 2B, Item 3

Apella is 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 for James T. Barker

- A. James T. Barker has never been subject to a criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which the supervised person
1. was convicted of, or plead guilty or nolo contendere ("no contest") to (a) any felony; (b) a misdemeanor that involved investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
 2. is the subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements, or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
 3. was found to have been involved in a violation of an investment-related statute or regulation; or
 4. was the subject of any order, judgment, or decree permanently or temporarily enjoining, or otherwise limiting, the supervised person from engaging in any investment-related activity, or from violating any investment-related statute, rule, or order.
- B. James T. Barker has never been subject to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which the supervised person
1. was found to have caused an investment-related business to lose its authorization to do business; or
 2. was found to have been involved in a violation of an investment-related statute or regulation and was the subject of an order by the agency or authority
 - a) denying, suspending, or revoking the authorization of the supervised person to act in an investment-related business;
 - b) barring or suspending the supervised person's association with an investment-related business;
 - c) otherwise significantly limiting the supervised person's investment-related activities; or
 - d) imposing a civil money penalty of more than \$2,500 on the supervised person.
- C. James T. Barker has never been subject to a self-regulatory organization (SRO) proceeding in which the supervised person
1. was found to have caused an investment-related business to lose its authorization to do business; or
 2. was found to have been involved in a violation of the SRO's rules and was: (i) barred or suspended from membership or from association with other members or was expelled from membership; (ii) otherwise significantly limited from investment-related activities; or (iii) fined more than \$2,500.
- D. James T. Barker has never been subject to any other proceeding in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct.

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CRD No. 1622909
Apella IARD No: 171106
12/2024

Other Business Activities

Form ADV Part 2B, Item 4

James T. Barker has no other business activities.

Additional Compensation

Form ADV Part 2B, Item 5

James T. Barker does not receive any additional compensation such as, but not limited to, sales awards, other prizes and from any other source outside of Apella.

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Supervision

Form ADV Part 2B, Item 6

James T. Barker is supervised by Jason Gentile, Regional Director at Apella. Mr. Gentile can be reached at 860-785-2259.