



IAPD Report

ROBIN MICHAEL SLAUGHTER

CRD# 1048506

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IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

ROBIN MICHAEL SLAUGHTER (CRD# 1048506)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ROYAL FUND MANAGEMENT, LLC	CRD# 144434	01/09/2026

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	CENTER STREET ADVISORS, INC.	169329	Charlotte, NC	03/09/2022 - 08/31/2023
IA	ALPHASTAR CAPITAL MANAGEMENT, LLC	157423	Charlotte, NC	12/20/2021 - 02/11/2022
IA	MAXIMUM ADVISORY	284983	Charlotte, NC	11/15/2018 - 10/20/2021

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Termination	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ROYAL FUND MANAGEMENT, LLC**
Main Address: 1515 BUENOS AIRES BLVD
LADY LAKE, FL 32159
Firm ID#: 144434

Regulator	Registration	Status	Date
IA North Carolina	Investment Adviser Representative	Approved	01/09/2026

Branch Office Locations

ROYAL FUND MANAGEMENT, LLC
1850 E 3rd St.
Suite 155
Charlotte, NC 28204



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	01/15/1983
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/01/1982

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	06/01/1982
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	03/09/2022 - 08/31/2023	CENTER STREET ADVISORS, INC.	CRD# 169329	Charlotte, NC
IA	12/20/2021 - 02/11/2022	ALPHASTAR CAPITAL MANAGEMENT, LLC	CRD# 157423	Charlotte, NC
IA	11/15/2018 - 10/20/2021	MAXIMUM ADVISORY	CRD# 284983	Charlotte, NC
IA	10/09/2015 - 11/06/2018	FIRST HEARTLAND CONSULTANTS, INC.	CRD# 110377	Charlotte, NC
B	10/02/2015 - 11/06/2018	FIRST HEARTLAND CAPITAL, INC.	CRD# 32460	Charlotte, NC
IA	01/06/2015 - 10/08/2015	KOVACK ADVISORS, INC.	CRD# 140808	CHARLOTTE, NC
B	10/15/2014 - 10/08/2015	KOVACK SECURITIES INC.	CRD# 44848	Charlotte, NC
IA	11/25/2013 - 12/31/2014	RESOURCE HORIZONS INVESTMENT ADVISORY, INC.	CRD# 143384	CHARLOTTE, SC
B	11/18/2013 - 10/15/2014	RESOURCE HORIZONS GROUP LLC	CRD# 104368	CHARLOTTE, NC
IA	01/05/2012 - 11/15/2013	ING FINANCIAL PARTNERS, INC	CRD# 2882	CHARLOTTE, NC
B	11/02/2011 - 11/15/2013	ING FINANCIAL PARTNERS, INC.	CRD# 2882	CHARLOTTE, NC
B	09/08/2008 - 11/04/2011	NFP SECURITIES, INC.	CRD# 42046	CHARLOTTE, NC
IA	09/08/2008 - 11/04/2011	NFP SECURITIES, INC.	CRD# 42046	CHARLOTTE, NC
B	08/26/2004 - 09/08/2008	CAPITAL INVESTMENT GROUP, INC.	CRD# 14752	CHARLOTTE, NC
IA	08/04/2004 - 09/08/2008	CIC ADVISERS, LLC	CRD# 130735	CHARLOTTE, NC
IA	12/31/2001 - 07/30/2004	JEFFERSON PILOT SECURITIES CORP	CRD# 3870	CHARLOTTE, NC



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	09/05/2001 - 07/30/2004	JEFFERSON PILOT SECURITIES CORPORATION	CRD# 3870	FORT WAYNE, IN
B	08/06/1996 - 10/04/2001	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	10/19/1995 - 10/04/2001	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN
B	02/01/1995 - 08/21/1996	JEFFERSON-PILOT INVESTOR SERVICES, INC.	CRD# 5178	FORT WAYNE, IN
B	08/29/1994 - 02/08/1995	W. S. GRIFFITH & CO., INC.	CRD# 10410	
B	01/13/1986 - 02/08/1995	W. S. GRIFFITH & CO., INC.	CRD# 10410	HARTFORD, CT
B	01/13/1986 - 10/19/1992	HOME LIFE INSURANCE COMPANY	CRD# 4184	
B	05/14/1984 - 01/24/1986	SENTRA SECURITIES CORPORATION	CRD# 10249	
B	03/28/1983 - 05/14/1984	HI SECURITIES, INC.	CRD# 4233	
B	06/02/1982 - 10/13/1983	HOME LIFE EQUITY SALES CORP.	CRD# 10410	
B	06/02/1982 - 10/13/1983	HOME LIFE INSURANCE COMPANY	CRD# 4184	
B	08/25/1982 - 06/16/1983	INVESTORS BROKERAGE SERVICES, INC.	CRD# 4257	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2026 - Present	Royal Fund Management, LLC	Investment Adviser Representative	Y	Lady Lake, FL, United States
08/1997 - Present	Retirement & Estate Planning Services, Inc.	President/Owner/Agent	Y	Charlotte, NC, United States
03/2022 - 08/2023	Center Street Advisors, LLC	Investment Advisor Representative	Y	Nashville, TN, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2021 - 02/2022	Alphastar Capital Management LLC	Investment Advisor Representative	Y	Cornelius, NC, United States
11/2018 - 10/2021	Maximum Advisory LLC	Investment Adviser Rep	Y	Charlotte, NC, United States
10/2015 - 11/2018	First Heartland Capital Inc	Registered rep	Y	Lake St Louis, MO, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1)8/1997 RETIREMENT & ESTATE PLANNING SERVICES, INC; Owner/President; 1850 E. 3rd St. Suite 155, Charlotte, NC; Investment Related

a.Insurance Agency - Agent; Sales of Fixed Insurance- 75% of professional time including trading hours

b.Retirement & Estate Planning - Consultant; Provide planning strategies for individuals & business through referrals & educational workshops; Majority of professional time spent including trading hours

c.CPA Liaison - Personal Income Tax Consultant ; Provide tax planning strategies for individuals & corporations. Do not prepare or file tax returns; Seasonal - Approximately 40 Hrs/FEB/MARCH/APRIL; 2 Hrs/During trading hours

2)6/1975 INDEPENDENT LICENSED INSURANCE AGENT; North Carolina & Other various states; Investment Related; Fixed Insurance sales - Annuities & Life



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	CFP FINANCIAL PLANNER BOARD OF STANDARDS, INC.
Sanction(s) Sought:	Suspension
Date Initiated:	07/22/2011
Docket/Case Number:	RDL-08-0403
Employing firm when activity occurred which led to the regulatory action:	NFP SECURITIES, INC.
Product Type:	No Product
Allegations:	ALLEGATIONS THAT RESPONDENT VIOLATED CFP BOARD'S CODE OF ETHICS AND PROFESSIONAL RESPONSIBILITY BY 1) ACCEPTING A LOAN FROM A CLIENT; 2) FAILED TO REPAY THE LOAN ACCORDING TO THE ORIGINAL TERMS OF THE PROMISSORY NOTE; 3) FAILED TO DISCLOSE THE POTENTIAL CONFLICTS OF INTEREST AND RISKS ASSOCIATED WITH THE PROMISSORY NOTE; 4) FAILED TO DISCLOSE THE POTENTIAL CONFLICTS OF INTEREST AND RISKS ASSOCIATED WITH THE CLIENT'S PURCHASE OF REAL ESTATE ON BEHALF OF THE RESPONDENT; 5) VIOLATED HIS EMPLOYER'S POLICY PROHIBITING THE RECEIPT OF LOANS FROM A CLIENT BY ACCEPTING A LOAN FROM HIS CLIENT; AND 6) FAILED TO DETERMINE WHETHER THE PROMISSORY NOTE HE EXECUTED WITH HIS CLIENT WAS APPROPRIATE FOR HIS CLIENT.
Current Status:	Final
Resolution:	Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

07/22/2011

Sanctions Ordered:

Suspension

Sanction 1 of 1

Sanction Type:

Suspension

Capacities Affected:

RIGHT TO USE THE CFP CERTIFICATION MARKS

Duration:

THREE MONTHS

Start Date:

04/06/2012

End Date:

07/06/2012

Broker Statement

ON JULY 22, 2011 THE CFP BOARD'S DISCIPLINARY AND ETHICS COMMISSION ("COMMISSION") ISSUED AN ORDER TO SUSPEND THE RESPONDENT'S RIGHT TO USE THE CFP, CERTIFIED FINANCIAL PLANNER, AND CERTIFICATION MARKS FOR A PERIOD OF THREE MONTHS. THE RESPONDENT THEN APPEALED THAT DECISION TO THE CFP BOARD'S APPEALS COMMITTEE. ON APRIL 6, 2012, THE CFP BOARD'S APPEALS COMMITTEE AFFIRMED THE FINDINGS OF FACT NOTED IN THE COMMISSION'S JULY 22, 2011 ORDER THAT THE RESPONDENT VIOLATED RULES 201, 406, 409, 606(B), AND 607 OF THE CFP BOARD'S CODE OF ETHICS AND PROFESSIONAL RESPONSIBILITY.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: JEFFERSON PILOT SECURITIES CORPORATION
Termination Type: Permitted to Resign
Termination Date: 07/30/2004
Allegations: REPRESENTATIVE VIOLATED FIRM POLICY PROHIBITING THE ACCEPTANCE OF LOANS FROM CUSTOMERS.
Product Type: No Product
Other Product Types:

Reporting Source: Individual
Firm Name: JEFFERSON PILOT SECURITIES CORPORATION.
Termination Type: Permitted to Resign
Termination Date: 07/30/2004
Allegations: REPRESENTATIVE VIOLATED FIRM POLICY PROHIBITING THE ACCEPTANCE OF LOANS FROM CUSTOMERS
Product Type: No Product

Broker Statement
A LOAN WAS OBTAINED FROM A FRIEND AND LATER HE WANTED ME TO HANDLE A BROKERAGE ACCOUNT FOR HIM. EVEN THOUGH THE LOAN WAS OBTAINED BEFORE THE FRIEND BECAME A BROKERAGE ACCOUNT JPSC FELT THAT I SHOULD HAVE NOT TAKEN HIS ACCOUNT. THE DISGRUNTLED REP THAT USE TO HAVE THE ACCOUNT WAS AWARE OF THE LOAN AND CALLED JPSC TO START THIS DISCLOSURE PROCESS.



End of Report

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