IAPD Report

ROBERT EARL STANLICK

CRD# 2411358

When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

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

ROBERT EARL STANLICK (CRD# 2411358)

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 **05/21/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/05/2023
IA	LPL FINANCIAL LLC	CRD# 6413	07/05/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	GENEOS WEALTH MANAGEMENT, INC.	120894	Colorado Springs, CO	02/22/2017 - 07/11/2023
B	GENEOS WEALTH MANAGEMENT, INC.	120894	Colorado Springs, CO	02/21/2017 - 07/11/2023
IA	PRESIDENTIAL BROKERAGE, INC.	28784	COLORADO SPRINGS, CO	11/15/2004 - 03/21/2017

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
Customer Dispute	3
Termination	1
Financial	4

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 **14** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	07/05/2023
B	Arizona	Agent	Approved	07/05/2023
B	California	Agent	Approved	07/06/2023
B	Colorado	Agent	Approved	07/06/2023
IA	Colorado	Investment Adviser Representative	Approved	07/06/2023
B	Florida	Agent	Approved	07/05/2023
B	Hawaii	Agent	Approved	12/14/2023
B	Louisiana	Agent	Approved	08/07/2023
B	Michigan	Agent	Approved	01/29/2024
B	Minnesota	Agent	Approved	07/12/2023
B	New Jersey	Agent	Approved	07/05/2023
B	North Carolina	Agent	Approved	07/25/2023
B	Ohio	Agent	Approved	07/05/2023

Qualifications

	Regulator	Registration	Status	Date
B	Oklahoma	Agent	Approved	07/05/2023
B	Texas	Agent	Approved	07/05/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	07/05/2023
B	Virginia	Agent	Approved	07/13/2023

Branch Office Locations

LPL FINANCIAL LLC
6208 LEHMAN DR STE 202
COLORADO SPRINGS, CO 80918

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
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	10/15/1996
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/29/1993

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	08/20/1997

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	02/22/2017 - 07/11/2023	GENEOS WEALTH MANAGEMENT, INC.	CRD# 120894	Colorado Springs, CO
B	02/21/2017 - 07/11/2023	GENEOS WEALTH MANAGEMENT, INC.	CRD# 120894	Colorado Springs, CO
IA	11/15/2004 - 03/21/2017	PRESIDENTIAL BROKERAGE, INC.	CRD# 28784	COLORADO SPRINGS,
B	04/16/2003 - 03/21/2017	PRESIDENTIAL BROKERAGE, INC.	CRD# 28784	COLORADO SPRINGS,
IA	01/01/1999 - 04/30/2003	U.S. BANCORP PIPER JAFFRAY INC.	CRD# 665	PUEBLO, CO
B	07/16/1997 - 04/30/2003	U.S. BANCORP PIPER JAFFRAY INC.	CRD# 665	MINNEAPOLIS, MN
B	05/28/1997 - 07/16/1997	ALLMERICA INVESTMENTS, INC.	CRD# 3960	WORCESTER, MA
B	01/16/1995 - 05/28/1997	CUNA BROKERAGE SERVICES, INC.	CRD# 13941	WAVERLY, IA
B	11/01/1993 - 12/22/1994	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY

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
07/2023 - Present	LPL FINANCIAL LLC	Registered Representative	Y	Colorado Springs, CO, United States
02/2017 - Present	Rocky Mountain Wealth Partners	DBA/Owner	N	Colorado Springs, CO, United States
02/2017 - 07/2023	Geneos Wealth Management Inc.	Registered Rep / Investment Advisor	Y	Colorado Springs, CO, United States
04/2003 - 02/2017	PRESIDENTIAL BROKERAGE INC	FINANCIAL CONSULTANT	Y	GREENWOOD VILLAGE, CO, United States

Registration & Employment History

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) 05/2023 - Rocky Mountain Wealth Partners / DBA for LPL Business (entity for LPL business) - Inv. Related - At Reported Business Location(s)
2) 05/2023 - Notary / Not Investment Related / Elbert, CO - Start 02/01/2017
3) 05/2023 - Western Wealth Advisors, LLC / DBA for LPL Business (entity for LPL business) - Inv. Related - At Reported Business Location(s)
4) 05/2023 - Non-Variable Insurance / Investment Related / Elbert CO - Start date 02/24/2017 - 1Hrs per month
5) 05/2023 - Western Wealth / DBA for LPL Business (entity for LPL business) - Inv. Related - At Reported Business Location(s)

6) 01/13/2025 - RS Wealth Strategies - Investment Related - DBA for LPL Business (entity for LPL business) - At Reported Business Location(s) - Start Date:01/01/2025 - 2 Hrs/Mth - 1 Hrs During Trading.

7) 05/05/2025 - Right to Bear - Not Investment Related- Other - Right to Bear Event speaker - At Reported Business Location(s) - Start Date: 05/05/2025 - Start Date:01/01/2025 - 5 Hrs/Mth - 0 Hrs During Trading.

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
Customer Dispute	3
Termination	1
Financial	4

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Forta Financial Grou, Inc.
Allegations:	boilerplate allegations include breach of fiduciary duty, negligence, and unsuitability between May 2012 and January 2021
Product Type:	Annuity-Variable Other: non-traded REITs and BDCs
Alleged Damages:	$110,000.00
Alleged Damages Amount Explanation (if amount not exact):	approximation based on the statement of claim
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Dispute Resolution
Docket/Case #:	21-00182

Filing date of arbitration/CFTC reparation or civil litigation:	01/25/2021

Customer Complaint Information

Date Complaint Received:	02/05/2021
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FORTA FINANCIAL GROUP, INC.
Allegations:	boilerplate allegations include breach of fiduciary duty, negligence and unsuitability between May 2012 and January 2021.
Product Type:	Annuity-Variable Other: non-traded REITS and BDCs
Alleged Damages:	$110,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	21-00182
Filing date of arbitration/CFTC reparation or civil litigation:	01/25/2021

Customer Complaint Information

Date Complaint Received:	03/08/2021
Complaint Pending?	No
Status:	Settled
Status Date:	02/23/2022
Settlement Amount:	$34,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 3

Reporting Source:	Firm

Employing firm when activities occurred which led to the complaint:	Forta Financial Group
Allegations:	the allegations include failure by the firm to do proper due diligence in addition to the standard boiler plate allegations of unsuitable recommendations, negligence, misrepresentation and omissions and breach of fiduciary duty between April 2014 and February 2020
Product Type:	Other: non traded REITs and BDCs
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	there were no specific damages alleged in the statement of claim thought it is believed to be above the $5000 threshold for reporting.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Dispute Resolution
Docket/Case #:	20-00574
Filing date of arbitration/CFTC reparation or civil litigation:	02/19/2020

Customer Complaint Information

Date Complaint Received:	02/27/2020
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Forta Financial Group
Allegations:	the allegations include failure by the firm to do proper due diligence in addition to the standard boiler plate allegations of unsuitable recommendations, negligence, misrepresentation and omissions and breach of fiduciary duty between April 2014 and February 2020
Product Type:	Other: Non-traded Reits and BDCs
Alleged Damages:	$0.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes

Arbitration/Reparation forum or court name and location:	FINRA Dispute Resolution
Docket/Case #:	20-00574
Filing date of arbitration/CFTC reparation or civil litigation:	02/27/2020

Customer Complaint Information

Date Complaint Received:	03/30/2020
Complaint Pending?	No
Status:	Settled
Status Date:	02/23/2022
Settlement Amount:	$30,000.00
Individual Contribution Amount:	$0.00
Broker Statement	I am not a named party to this complaint. This was a joint Rep account and I wasn't the advisor who recommended the purchase amounts.

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	U.S. BANCORP PIPER JAFFRAY INC.
Allegations:	CLIENT ALLEGES UNSUITABILITY OF INVESTMENT IN JOPBX ON 7/20/00. NO DAMAGES SPECIFIED. CURRENT UNREALIZED LOSSES TOTAL APPROXIMATELY $32,000.
Product Type:	Mutual Fund(s)
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	09/16/2002
Complaint Pending?	No
Status:	Denied
Status Date:	03/06/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLIENT WAS A WALK IN TO OUR OFFICE. THEY CHOSE AN EQUITY MUTUAL FUND WITH A .49 BATA AFTER DISCUSSING SEVERAL OTHER INVESTMENTS. THE FUND BY PROSPECTUS COULD USE HEDGING TACTICS TO PROTECT DOWN MARKETS. CLIENT UNDERSTOOD MARKET MOVEMENTS WITH MUTUAL FUNDS BUT IS UPSET THE THE 3 YEAR BEAR MARKET.

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:	U.S. BANCORP PIPER JAFFRAY INC.
Termination Type:	Discharged
Termination Date:	04/14/2003
Allegations:	REVIEW OF TRADING ACTIVITY FROM 3/27/03. THE INTERNAL REVIEW WAS CONCLUDED ON JULY 22, 2003. THE ACCOUNTS OF 10 CLIENTS WERE CREDITED WITH THE APPROPRIATE AMOUNTS INCLUDING INTEREST.
Product Type:	Equity - OTC
Other Product Types:	

Reporting Source:	Individual
Firm Name:	PIPER JAFFRAY
Termination Type:	Discharged
Termination Date:	04/14/2003
Allegations:	FAILURE TO FOLLOW COMPANY POLICIES AND PROCEDURES. ALLEGATIONS NOT SPECIFIED. U-5 DISCLOSURE STATES: REVIEW OF TRADING ACTIVITY FROM 3/27/03. THE INTERNAL REVIEW WAS CONCLUDED ON JULY 22, 2003. THE ACCOUNTS OF 10 CLIENTS WERE CREDITED WITH THE APPROPRIATE AMOUNTS INCLUDING INTEREST.
Product Type:	Equity - OTC
Other Product Types:	

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 4

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	04/17/2019
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	04/26/2019
If a compromise with creditor, provide:	
Name of Creditor:	Citibank
Original Amount Owed:	$8,547.92
Terms Reached with Creditor:	Settled for less with creditor and paid $5,250.00

Disclosure 2 of 4

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	04/17/2019
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	04/26/2019
If a compromise with creditor, provide:	
Name of Creditor:	CITIBANK
Original Amount Owed:	$8,008.68
Terms Reached with Creditor:	Settled with Creditor for $5250.00

Disclosure 3 of 4

Reporting Source:	Individual
Action Type:	Compromise

Action Date:	03/07/2019
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	04/24/2019
If a compromise with creditor, provide:	
Name of Creditor:	CITIBANK
Original Amount Owed:	$10,285.04
Terms Reached with Creditor:	Settled with Creditor for $7000.00

Disclosure 4 of 4

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	03/18/2019
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	04/15/2019
If a compromise with creditor, provide:	
Name of Creditor:	American Express
Original Amount Owed:	$29,548.36
Terms Reached with Creditor:	Settled with Creditor for $15,500.00

End of Report

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