



## IAPD Report

# ROBERT CLETUS PHILLIPS

CRD# 4383613

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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 CLETUS PHILLIPS (CRD# 4383613)

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 **06/05/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	FOCUS PARTNERS WEALTH, LLC	CRD# 159289	06/05/2025

### 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	SPECTRUM WEALTH MANAGEMENT	323651	INDIANAPOLIS, IN	01/03/2023 - 06/30/2025
IA	SPECTRUM WEALTH MANAGEMENT	154532	INDIANAPOLIS, IN	09/01/2011 - 01/30/2023
IA	SBO MANAGEMENT, LLC.	315258	INDIANAPOLIS, IN	07/06/2021 - 01/24/2023

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?

**No**



## 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: **FOCUS PARTNERS WEALTH, LLC**

Main Address: 190 CARONDELET PLAZA  
SUITE 600  
ST. LOUIS, MO 63105

Firm ID#: 159289

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	06/05/2025

#### Branch Office Locations

##### **FOCUS PARTNERS WEALTH, LLC**

600 E 96TH STREET  
SUITE 130  
INDIANAPOLIS, IN 46240



## 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, 0 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
No information reported.		

#### State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	10/02/2002

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **3** professional designation(s).

Certified Financial Planner

Chartered Financial Analyst

Personal Financial Specialist

This representative holds or did hold **3** 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	01/03/2023 - 06/30/2025	SPECTRUM WEALTH MANAGEMENT	CRD# 323651	INDIANAPOLIS, IN
IA	09/01/2011 - 01/30/2023	SPECTRUM WEALTH MANAGEMENT	CRD# 154532	INDIANAPOLIS, IN
IA	07/06/2021 - 01/24/2023	SBO MANAGEMENT, LLC.	CRD# 315258	INDIANAPOLIS, IN
IA	02/28/2005 - 10/25/2010	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	INDIANAPOLIS, IN
IA	07/01/2002 - 03/01/2005	MCDONALD INVESTMENTS INC.	CRD# 566	INDIANAPOLIS, IN

### 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
06/2025 - Present	FOCUS PARTNERS WEALTH, LLC	SENIOR WEALTH ADVISOR	Y	BOSTON, MA, United States
01/2023 - Present	SLAINT, LLC	PRESIDENT	Y	INDIANAPOLIS, IN, United States
01/2023 - Present	Spectrum Wealth Counsel, LLC	Investment Advisor Representative	Y	Indianapolis, IN, United States
12/2020 - 12/2022	SBO Management, LLC	President	Y	Indianapolis, IN, United States
10/2010 - 12/2022	SPECTRUM MANAGEMENT GROUP, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	INDIANAPOLIS, IN, 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.

PHOENIX PARTNERS, LLC, 600 E. 96TH STREET, SUITE 130, INDIANAPOLIS, IN 46240. NATURE OF BUSINESS: An LLC organized with the other owner of Slaint, LLC in order to make investments for the benefit of the owners. This is an investment related activity. POSITION: MEMBER. START DATE: DECEMBER 2010. HOURS PER MONTH: LESS THAN 3. HOURS PER DAY DURING TRADING HOURS: LESS THAN 1. The LLC was formed solely as a vehicle for investment purposes.



## **End of Report**

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