IAPD Report

ROBERT JOE BACHMAN

CRD# 715193

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 JOE BACHMAN (CRD# 715193)

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 **09/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	GENEOS WEALTH MANAGEMENT, INC.	CRD# 120894	03/20/2006
IA	GENEOS WEALTH MANAGEMENT, INC.	CRD# 120894	03/20/2006

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	INTERFINANCIAL CORPORATION	111531	GREENWOOD VILLAGE, CO	01/01/1999 - 12/19/2006
B	AIG FINANCIAL ADVISORS, INC.	133763	GREENWOOD VILLAGE, CO	10/31/2005 - 04/03/2006
B	SUNAMERICA SECURITIES, INC.	20068	PHOENIX, AZ	05/19/1992 - 10/31/2005

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

Employment 1 of 1

Firm Name: **GENEOS WEALTH MANAGEMENT, INC.**

Main Address: 9635 MAROON CIRCLE
SUITE 100
ENGLEWOOD, CO 80112

Firm ID#: 120894

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/20/2006
B	Colorado	Agent	Approved	03/20/2006
IA	Colorado	Investment Adviser Representative	Approved	03/20/2006
B	Florida	Agent	Approved	03/20/2006
B	Maryland	Agent	Approved	01/17/2020
B	Ohio	Agent	Approved	06/04/2019

Branch Office Locations

GENEOS WEALTH MANAGEMENT, INC.
Centennial, CO

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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Fund Securities Principal Examination (S51)	Series 51	03/24/2004
B	General Securities Principal Examination (S24)	Series 24	01/13/2000

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	03/15/1986
B	Registered Representative Examination (S1)	Series 1	08/27/1980

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/25/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/05/1991

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	01/01/1999 - 12/19/2006	INTERFINANCIAL CORPORATION	CRD# 111531	GREENWOOD VILLAGE
B	10/31/2005 - 04/03/2006	AIG FINANCIAL ADVISORS, INC.	CRD# 133763	GREENWOOD VILLAGE
B	05/19/1992 - 10/31/2005	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	01/17/1990 - 05/19/1992	ANCHOR NATIONAL FINANCIAL SERVICES, INC.	CRD# 5774	
B	12/15/1987 - 02/07/1990	CONSOLIDATED INVESTMENT SERVICES, INC.	CRD# 7929	LITTLETON, CO
B	05/08/1985 - 12/22/1987	FINANCIAL PLANNERS EQUITY CORPORATION	CRD# 7420	
B	09/05/1980 - 05/20/1985	MOUNTAIN STATES INVESTMENTS	CRD# 7881	

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
05/2010 - Present	G5 FINANCIAL GROUP	DBA	N	CENTENNIAL, CO, United States
03/2006 - Present	GENEOS WEALTH MANAGEMENT INC	REGISTERED REP / INVESTMENT ADVISOR	Y	CENTENNIAL, CO, 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) DBA:G5 FINANCIAL GROUP LOCATED AT BRANCH LOCATION. 2) INDEPENDENT REP WITH VARIOUS INSURANCE CARRIERS FOR FIXED ONLY. 3) PRESIDENT-INTERFINANCIAL CORPORATION.

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	1
Termination	1

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 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	SAGEPOINT FINANCIAL, INC.,
Allegations:	BREACH OF FIDUCIARY DUTIES; UNSUITABILITY; BREACH OF DUTY OF DUE CARE; AND FAILURE TO SUPERVISE;
Product Type:	Other: INTERESTS IN UNREGISTERED SECURITIES
Alleged Damages:	$461,231.12

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #09-03020
Date Notice/Process Served:	05/22/2009
Arbitration Pending?	No
Disposition:	Dismissed
Disposition Date:	03/22/2010
Disposition Detail:	CLAIMANTS AND RESPONDENT ENTERED INTO A CONFIDENTIAL SETTLEMENT AGREEMENT AND STIPULATED TO THE DISMISSAL OF THE ACTION AS AGAINST RESPONDENT. ON FEBRUARY 22, 2010, CLAIMANTS AND RESPONDENT FILED A STIPULATED MOTION TO DISMISS. ON MARCH 22, 2010, THE PANEL UNANIMOUSLY GRANTED THE STIPULATED MOTION TO DISMISS AS A RELEASE OF CLAIMANTS CLAIMS AGAINST RESPONDENT.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AIG FINANCIAL ADVISORS
Allegations:	COMPLAINT ALLEGES THAT FROM MARCH 17, 2006 THROUGH FEBRUARY 2, 2007, FORMER REPRESENTATIVE BACKMAN FAILED TO PROPERLY SUPERVISE FORMER REPRESENTATIVE KENT WHO INFLUENCED CLAIMANTS TO PURCHASE SHARES IN A COMMERCIAL LAND DEAL.
Product Type:	Other: STOCK;PRIVATE PLACEMENT
Alleged Damages:	$461,231.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-03020
Date Notice/Process Served:	07/14/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/09/2010
Monetary Compensation Amount:	$450,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SUN AMERICA SECURITIES
Allegations:	CLAIMANTS ALLEGE MR. BACHMAN FAILED TO ADEQUATELY SUPERVISE MR. KENTS ACTIVITIES
Product Type:	No Product
Alleged Damages:	$461,231.12

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-3020LA
Date Notice/Process Served:	07/20/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/28/2010

Monetary Compensation Amount:	$450,000.00
Individual Contribution Amount:	$5,000.00
Broker Statement	"DEREK ROY KENT AND A REAL ESTATE DEVELOPER HAVE BEEN INDICTED IN COLORADO AS CO-CONSPIRATORS FOR SECURITIES FRAUD. THEY WERE INDICTED FOR SELLING AWAY NON-REGISTERED SECURITIES AND OPERATING A PONZI SCHEME FOR THE PURPOSE OF INVESTING IN BOGUS REAL ESTATE DEALS AND THEN ALLEGEDLY CONVERTING THE MONEY TO THEIR OWN USE. THIS ARBITRATION COMPLAINT STATES THAT I AS HIS SUPERVISOR FAILED TO SUPERVISE HIS ILLEGAL ACTIVITY EVEN THOUGH IT TOOK PLACE OUTSIDE MY OFFICE AND WAS SYSTEMATICALLY CONCEALED FROM ME, MAKING THE ILLEGAL ACTIVITY IMPOSSIBLE TO "SUPERVISE". IT ALSO STATES THAT I KNEW WHAT HE WAS DOING AND "COVERED IT UP" BECAUSE WE HAVE KNOWN EACH OTHER FOR OVER 22 YEARS. SUCH ALLEGATIONS AGAINST ARE ENTIRELY BASELESS AND GROUNDLESS. IT STATES THAT KENT HAD A SATELLITE OFFICE IN PARKER CO WHERE MUCH OF THE ILLEGAL ACTIVITY TRANSPIRED. NO SUCH OFFICE WAS EVER LEGALLY ESTABLISHED BY SUNAMERICA SECURITIES, INC. OR AIG FINANCIAL SERVICES, INC. NOR WAS I EVER AWARE OF ANY SUCH ALLEGED OFFICE. IN ADDITION, $476,000 OF THE ALLEGED DAMAGES ASKED FOR IN THE COMPLAINT WAS ALLEGEDLY RAISED AFTER I CEASED TO BE HIS OSJ ON 3-20-06."

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:	Individual
Firm Name:	CONSOLIDATED INVESTMENT SERVICES
Termination Type:	Voluntary Resignation
Termination Date:	01/17/1990
Allegations:	I WAS IMPROPERLY NAMED AS A DEFENDANT IN CASE #89CV3621 DIV. 5, ARAP. CTY. CO. THE COMPLAINT WAS COMPRISED OF FIVE CLAIMS - THE FIRST TWO ARE BASED ON FEDERAL SECURITIES LAWS. THE THIRD CLAIM IS BASED ON COLORADO SECURITIES LAWS. THE FOURTH AND FIFTH CLAIMS ARE BASED ON COMMON LAW PRINCIPLES OF NEGLIGENCE AND FRAUD - DAMAGES CLAIMED EXCEED $50,000. FOLLOWING FILING OF THIS LAWSUIT I WAS DISMISSED WITH PREJUDICE FROM THE LAWSUIT ON 12-27-1989. SHORTLY THEREAFTER I CHANGED BROKER-DEALERS.
Product Type:	No Product
Other Product Types:	
Broker Statement	I VOLUNTARILY RESIGNED FROM CIS AFTER BEING NAMED IN LITIGATION THAT ACCUSED ME OF VIOLATING INVESTMENT RELATED STATUTES. I WAS DISMISSED WITH PREJUDICE FROM THE LITIGATION ON 12-27-1989, AND AFFILIATED WITH A NEW BROKER-DEALER ON 1-10-1990.

End of Report

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