
PART 2B OF FORM ADV: BROCHURE SUPPLEMENT

Name of Supervised Person:

LESLIE D. THOMPSON

June 16, 2020

Item 1 – Cover Page

Spectrum Management Group, LLC.
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THIS BROCHURE SUPPLEMENT PROVIDES INFORMATION ABOUT LESLIE D. THOMPSON THAT SUPPLEMENTS THE SPECTRUM MANAGEMENT GROUP, LLC. BROCHURE. YOU SHOULD HAVE RECEIVED A COPY OF THAT BROCHURE. PLEASE CONTACT US AT (317) 663-5600 IF YOU DID NOT RECEIVE A COPY OF THE SPECTRUM MANAGEMENT GROUP, LLC. BROCHURE OR IF YOU HAVE ANY QUESTIONS ABOUT THE CONTENTS OF THIS BROCHURE SUPPLEMENT.

ADDITIONAL INFORMATION ABOUT LESLIE D. THOMPSON IS AVAILABLE ON THE SEC'S WEBSITE AT www.adviserinfo.sec.gov.

Item 2 – Educational Background and Business Experience

Leslie D. Thompson was born in 1967. Ms. Thompson currently holds the positions of Chief Financial Officer, Chief Compliance Officer, Secretary, and Managing Principal at Spectrum Management Group, LLC. (“**SMG**”). Ms. Thompson was registered as an Associated Person of SMG on October 19, 2010. Ms. Thompson graduated from Indiana University in 1990 with a bachelor of science degree in Accounting. Ms. Thompson holds Series 63 (Uniform Securities Agent State Law), Series 65 (Uniform Investment Adviser), and Series 66 (Uniform Combined State Law) licenses.

Ms. Thompson also holds the professional designations of Certified Public Accountant (“CPA”), Chartered Financial Analyst (“CFA®”), Certified Divorce Financial Analyst™ (“CDFA™”), and Accredited Investment Fiduciary (“AIF®”).

The CPA certification marks are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous Code of Professional Conduct, which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. In addition to the Code of Professional Conduct, AICPA members who provide personal financial planning services are required to follow the Statement on Standards in Personal Financial Planning Services (SSPFPS).

The CFA® charter is a credential awarded by the CFA Institute to individuals who meet its education, examination, sponsorship, experience and ethics requirements. To earn a CFA® charter, eligible candidates must have four years of qualified investment work experience, become a member of the CFA Institute, adhere to the Code of Ethics and Standards of Professional Conduct on an ongoing basis, and complete the CFA® program, which requires the passage of three separate six-hour examinations. Topics tested by the CFA Institute include ethical standards, quantitative methods, economics,

financial reporting, corporate finance, equities, fixed income, derivatives, alternative investments, and portfolio management.

The CDFA™ certification is a divorce planning credential awarded by the Institute for Divorce Financial Analysts to individuals who meet its education and examination requirements. Recipients of the CDFA™ designation are required to have successfully completed four distinct modules of training, the first three of which culminate in separate two-hour examinations. Among the divorce related topics covered by the educational modules include personal and marital property, valuing and dividing property, retirement and pension plans, splitting the house, tax problems and solutions, and providing litigation support to attorneys. In order to maintain the certification, CDFA™ designees are required to complete at least 20 hours of continuing education every two years, ten hours of which must specifically address divorce related matters.

The AIF® designation certifies that the recipient has specialized knowledge of fiduciary standards of care and their application to the investment management process. To receive the AIF® designation, individuals must complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor, and agree to abide by the AIF® Code of Ethics. In order to maintain the AIF® designation, the individual must annually renew his or her affirmation of the AIF® Code of Ethics and complete six hours of continuing education credits. The certification is administered by the Center for Fiduciary Studies, LLC.

For additional information about any of these credentials, please refer directly to the website of the issuing organization.

Item 3 – Disciplinary Information

Ms. Thompson has no legal or disciplinary events to report that would be material to a client's or prospective client's evaluation of SMG's advisory business or the integrity of its management.

Item 4 – Other Business Activities

Ms. Thompson is co-member of Phoenix Partners, LLC ("Phoenix") with Mr. Robert Phillips. The LLC was established solely as a vehicle entity for investment purposes between the two partners of SMG. No clients are solicited or involved with Phoenix Partners, LLC. Phoenix Partners, LLC is also a client of SMG. As such, the partners, Ms. Thompson and Mr. Phillips, may invest in the same securities recommended to clients of SMG. This may represent inherent conflicts which SMG addresses in its Code of Ethics, disclosures to clients here and in Item 11 of Form ADV Part 2A. Aside from the preceding

activity, Ms. Thompson is not actively engaged in any other business or occupation other than her position with SMG.

Item 5 – Additional Compensation

No third party which is not a client of SMG provides any economic benefit to Ms. Thompson for providing advisory services.

Item 6 – Supervision

Ms. Thompson is a Managing Principal and the Chief Compliance Officer of SMG and, therefore, is generally responsible for her own supervision. Ms. Thompson may be contacted at (317) 663-5600. Ms. Thompson is required to adhere to SMG's written supervisory policies and procedures, Code of Ethics, and investment advisory agreement with each client. Ms. Thompson monitors the advice and advisory services she provides to clients by performing ongoing and periodic reviews of account opening documentation, transactions in client accounts, and correspondence that she sends and receives from clients, as in accordance with SMG's written supervisory policies and procedures. Ms. Thompson also monitors her advice in an effort to ensure that investments are suitable for her individual clients and consistent with their individual needs, goals, objectives, and risk tolerance, as well as any restrictions requested by SMG's clients.

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