
PART 2B OF FORM ADV: BROCHURE SUPPLEMENT

Name of Supervised Person:

TIA M. LEE

June 16, 2020

Item 1 – Cover Page

Spectrum Management Group, LLC.
600 East 96th Street, Suite 130
Indianapolis, Indiana 46240
Tel: (317) 663-5600
Fax: (317) 663-5610
spectrum-mgmt.com

THIS BROCHURE SUPPLEMENT PROVIDES INFORMATION ABOUT TIA M. LEE 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 TIA M. LEE IS AVAILABLE ON THE SEC'S WEBSITE AT www.adviserinfo.sec.gov.

Item 2 – Educational Background and Business Experience

Tia M. Lee was born in 1962. Ms. Lee currently holds the position of Director of Wealth Planning at Spectrum Management Group, LLC. (“**SMG**”). Ms. Lee was registered as an Associated Person of SMG on November 26, 2012. Ms. Lee graduated from Ball State University in 1988 with a bachelor of science degree in Accounting.

Ms. Lee holds the professional designation of CERTIFIED FINANCIAL PLANNER™ (“CFP®”). The CFP® certification is a financial planning credential awarded by the Certified Financial Planner Board of Standards Inc. (the “CFP Board”) to individuals who meet its education, examination, experience and ethics requirements. Eligible candidates are generally required to have three years of financial planning related experience and possess a bachelor’s degree from an accredited U.S. college or university. Certificants are further required to complete a CFP Board-Registered Education Program (or possess a qualifying professional credential), clear a personal and professional background check, and pass the CFP® Certification Examination, a ten-hour multiple choice exam divided into three separate sessions. In order to maintain the certification, CFP® designees must also complete at least 30 hours of continuing education every two years on an ongoing basis. For additional information about this credential, please refer directly to the website of the issuing organization.

Ms. Lee also holds the professional designation of Certified Trust and Financial Advisor (“CTFA”). The CTFA is a professional certification mark granted in the United States by the American Bankers Association Institute of Certified Bankers (“ICB”). The CTFA certification is a voluntary certification; no federal or state law or regulation requires financial planners or wealth managers to hold a CTFA certification. The CTFA certification is designed to establish a recognized standard of knowledge and competence for the trust and wealth advisory field, and it formally recognizes those individuals who have met these standards. It also provides employers and clients with a tool to identify skilled, knowledgeable professionals. Finally the CTFA certification supports the benefits of professional continuing education and development. To attain the right to use the CTFA marks, an individual must satisfactorily fulfill the following prerequisites: (i) a minimum of three years of experience in wealth management as well as completion of one of the five ICB approved wealth management training programs, five years of experience in wealth management and a bachelor’s degree, or 10 years of experience in wealth management; (ii) one letter of recommendation is required from a manager attesting to the candidate’s qualifications for certification, including his or her wealth management experience and ethical character; (iii) each candidate must sign ICB’s Professional Code of Ethics statement; (iv) candidates must complete and submit an application and must meet all of the eligibility requirements at the time the application is submitted; and (v) once the above requirements have been met, candidates must pass

the comprehensive CTFA certification exam which measures the candidate's knowledge in the areas of fiduciary and trust activities, financial planning, tax law and planning, investment management, and ethics. In order to maintain the right to continue to use the CTFA marks, individuals who become certified must complete 45 hours of continuing education every three years, with a minimum of six hours in each of the five knowledge areas. In addition, certified individuals are required to complete three continuing education credits in ethics.

Item 3 – Disciplinary Information

Ms. Lee 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. Lee is not actively engaged in any investment-related or non-investment-related business or occupation other than her position with SMG, as disclosed in Item 2 above. Ms. Lee is not registered, and does not have an application pending to register, as a broker-dealer, registered representative of a broker-dealer, futures commission merchant, commodity pool operator, commodity trading advisor, or an associated person of a futures commission merchant, commodity pool operator, or commodity trading advisor.

Item 5 – Additional Compensation

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

Item 6 – Supervision

Ms. Lee is supervised by Leslie D. Thompson, the Managing Principal and Chief Compliance Officer of SMG. Ms. Thompson may be contacted at (317) 663-5600. Ms. Lee is required to adhere to SMG's written supervisory policies and procedures, Code of Ethics, and investment advisory agreement with each client. Additionally, SMG monitors the advice and advisory services Ms. Lee provides to clients by performing ongoing and periodic reviews of account opening documentation, transactions in client accounts, and correspondence that Ms. Lee sends and receives from clients, as in accordance with SMG's written supervisory policies and procedures. SMG also monitors Ms. Lee's 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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