

PROFESSIONAL PROFILE



GREG PHELPS, CFP®, CLU, AAMS

6817 S. EASTERN AVE.
STE. 101
LAS VEGAS, NV, 89119



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Friend/Associate](#)

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1. MY BUSINESS PHILOSOPHY

The Firm focuses every client interaction on its mission statement: "We add value to our client's lives by providing exceptional, comprehensive, and independent financial advice and planning services, exhibiting at all times the knowledge, experience, and integrity necessary to create a substantial and positive financial effect for our clients" Other "financial advisors" focus on selling investment or insurance products for commissions. As a "Fee-Only" financial advisory Firm, our services are client-centric, comprehensive, conflict-free, and driven by your financial and retirement planning success! Isn't it time you expected more from your financial advisor?

2. MY BUSINESS STRUCTURE

- A. My Registered Investment Advisor (RIA) firm is: Red Rock Wealth Management, LLC
- B. I am a: Sole Practitioner
- C. I am a: Owner
- D. I work with the following types of clients: Individuals & Families, Businesses, Corporate Pension Funds, Nonprofit Organizations
- E. I provide the following types of financial services: Planning Advice & Services, Financial Advice & Services, Money Management Services, Investment Products, Insurance Advice & Products, Tax Advice & Services

3. MY FINANCIAL SERVICES BACKGROUND

- A. I have the following years of financial services experience: 15
- B. I have the following degrees or years of college:
 - California State University, San Bernardino (BA)
- C. I hold the following Certifications, Designation and Accreditations:
 - Certified Financial Planner (CFP®)
 - Chartered Life Underwriter (CLU)
 - Accredited Asset Management Specialist (AAMS)
- D. I am a member of the following industry associations:
 - Natl. Assoc. of Personal Financial Advisors
 - Financial Planning Association

4. MY LICENSING, REGISTRATIONS & COMPLIANCE

- A. I acknowledge I am a fiduciary when I provide financial advice or services
- B. I am registered or licensed to provide financial advice and services in the following states: Nevada
- C. My CRD or IARD number is: 134562
- D. I hold the following active insurance licenses: None

- E. I have no disclosures on my compliance record for the past ten years
- F. I have no criminal disclosures
- G. [Click here](#) to view my ADV Part II
- H. I do not acknowledge my advice and services are free of any potential conflicts of interest that would damage the financial interests of my clients
- I. I will provide full disclosure for any additional information that is required by a potential client
- J. I do not receive any undisclosed compensation to market any particular products or groups of products to my clients
- K. I am not under any pressure to market particular products or groups of products to my clients
- L. I have not developed any financial products or services that I market to my clients

5. MY FINANCIAL SERVICES & PRODUCTS

- A. I provide the following planning services: Financial, Retirement, Hourly
- B. I provide planning as a separate service (no investment services requirement)
- C. I require discretionary trading authority for client assets
- D. I provide the following investment advisory services: Strategy Development, Written Investment Policy, Asset Allocation, Re-Balancing, Selection Of Passive Managers, Risk Management, Performance Reporting, Tax Efficient Strategies, Review Current Portfolios
- E. I provide a track record for my investment services that has the following characteristics
 - Not GIPS compliant.
 - My track record is not audited by an independent, third party
- F. I market the following investment products: None
- G. I market the following insurance products: None

6. MY BUSINESS PRACTICES

- A. My minimum asset requirement for my investment services is: \$100,000
- B. I have no minimum fee requirement for my planning or investment services
- C. I receive the following types of compensation for my planning advice and services: Asset-based fee, Hourly fee, Fixed fee
- D. I receive the following types of compensation for my investment advice and services: Asset-based fee, Hourly fee, Fixed fee
- E. The scope of my current business is:
 - Number of Clients: 57
 - Amount of Assets: \$41,000,000
- F. I use the services of the following custodians: TD Ameritrade
- G. Except for my fee I do not, under any circumstances take physical possession of my clients' assets
- H. I will not provide a written agreement in advance that describes my services and compensation
- I. I will meet with prospective clients at my location or Investors location
- J. I do not work with the remote clients over telephone and Internet
- K. I provide the following reports to clients:
 - Performance Report (Quarterly)
 - Custodial Report (Monthly)
- L. I review my clients' financial plans with them: Annually, Upon Request
- M. I review my clients' investment portfolios with them: Semi-Annually, Annually, Upon Request
- N. I respond to clients' calls or emails: Next business day

7. CERTIFICATION

- A. I certify all of the information in my professional profile is complete, accurate, and up-to-date.
- B. Advisor Name: Greg Phelps
- C. Most Recent Update: 06-03-2010
- D. I have been a member of the Paladin Registry since: 2005