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## **Brochure Form ADV Part 2B**

**Tom H. Sleeter, MBA, AIF<sup>®</sup>**

**April 1, 2019**



**This brochure supplement provides information about Tom Sleeter that supplements the Total Clarity Wealth Management, Inc. Form ADV Part 2A Brochure. Please contact Tom at (630) 368-6160 if you would like to receive Total Clarity's Form ADV Part 2A Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Tom is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). The searchable CRD number for Tom H. Sleeter is 3176055.**

Tom H. Sleeter, MBA  
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**EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE**

**Item 2**

**Tom Sleeter**

*Year of Birth:* 1948

Education:

<b>Name of School</b>	<b>Years Attended</b>	<b>Year Graduated</b>	<b>Degree</b>	<b>Major</b>
Michigan State University	1966 to 1970	1970	BA	Economics
University of Chicago	1970 to 1973	1973	MBA	Finance

Business Background:

<b>Name of Employer</b>	<b>Type of Business</b>	<b>Title</b>	<b>Period of Employment</b>
Total Clarity Wealth Management, Inc.	Advisory and Financial Planning	Chief Investment Officer Advisory Representative	04/2007 to Present
Heartland Capital Resources	Financial Services	President	01/1993 to Present
LPL Financial	Broker/Dealer	Registered Representative	10/2018 to Present
Cetera Advisor Networks	Broker/Dealer	Registered Representative	01/1999 to 10/2018
Health Directions	Healthcare Consulting	Vice President/CFO	09/1991 to 06/1992
USG Corporation	Building Material Manufacturer	Director of Investor Relations	1984 to 1991
USG Corporation	Building Material Manufacturer	Director of Pension Investments	1988 to 1991

**Securities Registrations held: Series 7, Series 66**

**Designations:** Tom Sleeter earned and maintains the designation of AIF<sup>®</sup> (Accredited Investment Fiduciary). The AIF designation is obtained by completing a web-based or Capstone program on investment fiduciary standards and a final certification exam. There is no prerequisite. This designation requires 6 hours of continuing education every year.

**DISCIPLINARY INFORMATION**

**Item 3**

If your advisor had any reportable legal or disciplinary events during the past ten years, they will be described below:

YOUR ADVISOR DOES NOT HAVE ANY REPORTABLE LEGAL OR DISCIPLINARY EVENTS.

**OTHER BUSINESS ACTIVITIES**

**Item 4**

In addition to serving as Chief Investment Officer and an Advisory Representative for Total Clarity Wealth Management, Inc. (hereinafter referred to as “Total Clarity”), Tom is a Registered Representative of LPL Financial (LPL), registered Broker/Dealer, member FINRA/SIPC. Clients are under no obligation to purchase or sell securities through Tom. LPL and Total Clarity are not affiliated companies. As an independent contractor of LPL, Tom spends approximately 15% of his time offering securities products on a commission basis with LPL.

Tom may recommend clients implement recommendations through LPL. If clients implement investment recommendations through LPL, Tom may receive a commission. Additionally, as further disclosed in Total Clarity’s Form ADV Part 2A Brochure under the Brokerage Practices section, Tom may receive trail compensation for investments directed through LPL. Therefore, there may be a conflict of interest to cause a client to direct certain securities business through LPL.

As a Registered Representative of LPL, Tom is subject to oversight by LPL over all his securities activities and certain outside business activities. Such oversight includes the review of Tom’s securities business to ensure he considers the client’s best interests.

Tom is the President of Heartland Capital Resources, Inc., a business valuation company. This business comprises approximately 5% of Tom’s time and the income fluctuates depending on the amount of business.

For additional information, refer to the section entitled Brokerage Practices (Item 12) as well as item 10, and 14 in Total Clarity’s Form ADV Part 2A Brochure, which is available on our website: [www.totalclaritywealth.com](http://www.totalclaritywealth.com). Important details of conflicts of interest are found throughout the form ADV Part 2A or Total Clarity Wrap Brochure.

**ADDITIONAL COMPENSATION**

**Item 5**

Tom does not receive an economic benefit (i.e., sales awards and other prizes) from a non-client for providing advisory services.

In his role as a Registered Representative of LPL, Tom will earn commissions. The amount of commissions paid by LPL to Tom will fluctuate based on his overall production.

## Total Clarity Wealth Management, Inc.

In connection with the transition of Tom Sleeter's association as a registered representative of LPL Financial, Tom received or will receive financial transition support from LPL Financial in the form of a 5 year forgivable loan that may be forgiven over time depending on the length of his tenure with

LPL Financial. The amount of the loan paid to Tom represents a substantial payment and is intended to be used for a variety of purposes including offsetting account transfer fees, technology set-up fees, marketing and mailing costs, stationary and licensure transfer fees, staffing support and termination fees associated with moving accounts. Forgiveness of the loan, in whole or in part, is conditioned with Tom remaining affiliated with LPL. This is a conflict of interest for Tom to remain with LPL Financial and to select a broker/dealer based on this financial assistance.

To mitigate these conflicts of interest, this disclosure has been provided to you. If you have any concerns about the appropriateness of Tom's recommendations based on your financial situation, you should discuss these recommendations with another financial professional.

### **SUPERVISION**

#### **Item 6**

Tom Sleeter is Chief Investment Officer and an Advisory Representative of Total Clarity. Supervision and oversight of his activities conducted through Total Clarity is provided by Jeanne Tackett, Vice President of Operations and Chief Compliance Officer (CCO). Terry Murphy, President, is the CCO Designee in Jeanne's absence. Jeanne Tackett and Terry Murphy can be contacted at (630) 762-9352.

Total Clarity has a supervisory program to oversee the advisory business. In addition it has compliance policies and procedures manual and code of ethics. Supervised persons must agree to comply and adhere to Total Clarity's code of ethics and policies and procedures. Total Clarity has procedures in place to be aware of any outside business activities engaged in or by Tom, and to review personal trading activities of Tom, as well as in any account over which he has direct beneficial interest.

As stated in Total Clarity's Form ADV Part 2A Brochure and as indicated above, LPL will also oversee the securities business of Tom Sleeter. Because he is a dually registered representative of LPL and Total Clarity, LPL has certain supervisory and administrative duties pursuant to the requirements of Conduct Rule 3040. Such review does not include the provision of investment advisory services to the clients of Total Clarity.

### **REQUIREMENTS FOR STATE REGISTERED ADVISERS**

#### **Item 7**

Total Clarity is not a State Registered Adviser.