

## BrokerCheck Report

**ROBERT GREGORY HAMMOND**

CRD# 4019419

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

**Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

For more information about FINRA, visit [www.finra.org](http://www.finra.org).

**ROBERT G. HAMMOND**

CRD# 4019419

**Currently employed by and registered with the following Firm(s):**

**IA HAMMOND ILES WEALTH ADVISORS**

100 GREAT MEADOW ROAD  
SUITE 701

WETHERSFIELD, CT 06109

CRD# 136372

Registered with this firm since: 07/19/2005

**B PURSHE KAPLAN STERLING INVESTMENTS**

100 Great Meadow Road  
Suite 701

Wethersfield, CT 06109

CRD# 35747

Registered with this firm since: 05/16/2022

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications**

**This broker is registered with:**

- 1 Self-Regulatory Organization
- 23 U.S. states and territories

**This broker has passed:**

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

**Registration History**

**This broker was previously registered with the following securities firm(s):**

**B CEROS FINANCIAL SERVICES, INC.**

CRD# 37869

Wethersfield, CT

03/2016 - 04/2022

**B SECURITIES SERVICE NETWORK, INC.**

CRD# 13318

OLD LYME, CT

01/2000 - 03/2016

**IA KELLY FINANCIAL GROUP**

CRD# 109797

WETHERSFIELD, CT

02/2000 - 09/2005

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Customer Dispute	3



## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 1 SRO and is licensed in 23 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **HAMMOND ILES WEALTH ADVISORS**  
 Main Office Address: **100 GREAT MEADOW ROAD  
 SUITE 701  
 WETHERSFIELD, CT 06109**  
 Firm CRD#: **136372**

	U.S. State/ Territory	Category	Status	Date
IA	Connecticut	Investment Adviser Representative	Approved	07/19/2005
IA	Texas	Investment Adviser Representative	Restricted Approval	07/20/2005
IA	Virginia	Investment Adviser Representative	Approved	09/23/2022

### Branch Office Locations

100 GREAT MEADOW ROAD  
 SUITE 701  
 WETHERSFIELD, CT 06109

11710 PLAZA AMERICA DRIVE  
 SUITE 2000  
 RESTON, VA 20190

652 BOSTON POST ROAD  
 SUITE 3  
 GUILFORD, CT 06437

## Broker Qualifications



### Employment 2 of 2

Firm Name: **PURSHE KAPLAN STERLING INVESTMENTS**

Main Office Address: **80 STATE STREET  
ALBANY, NY 12207**

Firm CRD#: **35747**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	05/16/2022
B	FINRA	General Securities Representative	Approved	05/16/2022
B	FINRA	Operations Professional	Approved	05/16/2022

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	10/18/2024
B	Arkansas	Agent	Approved	05/17/2022
B	California	Agent	Approved	05/17/2022
B	Connecticut	Agent	Approved	05/17/2022
B	Florida	Agent	Approved	05/17/2022
B	Georgia	Agent	Approved	10/15/2025
B	Maine	Agent	Approved	05/17/2022
B	Maryland	Agent	Approved	05/17/2022
B	Massachusetts	Agent	Approved	06/30/2022
B	Missouri	Agent	Approved	10/20/2025
B	New Hampshire	Agent	Approved	07/13/2022
B	New Jersey	Agent	Approved	05/17/2022
B	New York	Agent	Approved	05/17/2022
B	North Carolina	Agent	Approved	05/31/2022



## Broker Qualifications

### Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Ohio	Agent	Approved	05/17/2022
B	Pennsylvania	Agent	Approved	05/18/2022
B	Rhode Island	Agent	Approved	05/24/2022
B	South Carolina	Agent	Approved	07/07/2022
B	South Dakota	Agent	Approved	06/08/2022
B	Tennessee	Agent	Approved	05/17/2022
B	Texas	Agent	Approved	05/16/2022
B	Vermont	Agent	Approved	05/17/2022
B	Virginia	Agent	Approved	05/18/2022

### Branch Office Locations

#### PURSHE KAPLAN STERLING INVESTMENTS

100 Great Meadow Road  
Suite 701  
Wethersfield, CT 06109

#### PURSHE KAPLAN STERLING INVESTMENTS

652 Boston Post Road  
Suite 3  
Gilford, CT 06109

#### PURSHE KAPLAN STERLING INVESTMENTS

11710 Plaza America Dr., St. 2000  
Reston, VA 20190



## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	11/01/1999

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	10/05/1999

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	12/21/1999
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	11/17/1999

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).



## Broker Qualifications

### Professional Designations

This section details that the representative has reported **1** professional designation(s).

#### Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>





## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 03/2016 - 04/2022	CEROS FINANCIAL SERVICES, INC.	37869	Wethersfield, CT
<b>B</b> 01/2000 - 03/2016	SECURITIES SERVICE NETWORK, INC.	13318	OLD LYME, CT
<b>IA</b> 02/2000 - 09/2005	KELLY FINANCIAL GROUP	109797	WETHERSFIELD, CT
<b>B</b> 10/1999 - 01/2000	LINSCO/PRIVATE LEDGER CORP.	6413	FORT MILL, SC

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
04/2022 - Present	PURSHE KAPLAN STERLING INVESTMENTS	REGISTERED REPRESENTATIVE	Y	ALBANY, NY, United States
02/2000 - Present	KELLY FINANCIAL GROUP, LLC DBA HAMMOND ILES WEALTH ADVISORS	MANAGING MEMBER, ADVISORY REPRESENTATIVE	Y	WETHERSFIELD, CT, United States
03/2016 - 03/2022	CEROS FINANCIAL SERVICES, INC.	INDEPENDENT CONTRACTOR	Y	ROCKVILLE, MD, United States
01/2000 - 03/2016	SECURITIES SERVICE NETWORK, INC	REGISTERED REP	Y	KNOXVILLE, TN, United States

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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) KELLY FINANCIAL GROUP, LLC D/B/A HAMMOND ILES WEALTH ADVISORS - 100 GREAT MEADOW ROAD, SUITE 701, WETHERSFIELD, CT 06109, INVESTMENT REL - CEO/CIO - RIA - 11/19/2000 - 120 HR/MO/TRD HRS - Provide advice to clients.
- 2) THE CONNECTICUT FORUM - 750 MAIN STREET, HARTFORD, CT 06103 - 501(C)(3) ORGANIZATION - ADVISORY BOARD - NOT INVESTMENT REL - 5/1/2010 - 1 HR/MO/TRD HRS - The Connecticut Forum periodically moderates meetings with the Advisory Board to discuss

## Registration and Employment History



### Other Business Activities, continued

potential future Forum topics and panelists, possible Forum questions for panelists, and reviews and feedback after Forums are held.

3) CONNECTICUT COMMUNITY CARE, INC. - 43 ENTERPRISE DRIVE, BRISTOL, CT 06010-7472 NOT INVESTMENT REL - NON-PROFIT - SERVE A 3 YEAR TERM AS A CCCI CORPORATOR - 7/1/2010 - 1 HR/MO - 0 HR/MO/TRD HRS - CCCI is a care management service for the elderly and disabled in Connecticut. Corporators are community members that serve as a resource to CCCI and its Board.

4) R. GREGORY HAMMOND - NOT INVESTMENT - OWNER - AUTHOR/SPEAKER/CONSULTANT ON INDIVIDUAL BASIS 2/1/2012 - 3 HRS/MO, 0 HR/MO/TRD HRS - I inspire and empower people and organizations to create more meaningful legacies and greater impact. My services include writing, public speaking, professional training and strategic planning for individuals, families, financial professionals, industry associations, and nonprofit organizations.

5) Fixed Insurance/The Pinnacle Group - NOT INVESTMENT - 04/2004 - AGENT - Fixed / Traditional Insurance - Sales of Fixed / Traditional insurance products - 3 HRS/MO DURING TRADING HOURS. Provide advice to clients.

6) CONNECTICUT CHILDREN'S MEDICAL CENTER FOUNDATION - NON-PROFIT - NOT INVESTMENT - 282 Washington Street, Hartford, CT 06106 -STEERING COMMITTEE MEMBER - 2/5/21 - 1 HR/MO, 1 HR/MO DURING TRADING HOURS - As a member of the Steering Committee I participate in meetings to discuss future group events, recruiting and fund-raising to grow Connecticut Children's Connection, and in the annual evaluation and selection process to award the funds raised to a research

7) Financial Freedom Centers, LLC - not investment related - 100 Great Meadow Road, Suite 701, Wethersfield, CT 06109 - Partnership to own and lease commercial real estate - Founder/Managing Member - 07/13/2021 - 1 per mo/trading - Financial Freedom Centers, LLC was formed to own and lease commercial real estate. As a member I am responsible for the rental and maintenance of the real estate owned. Partnership income may be earned if the lease income exceeds the expenses of the property owned.

8) Westminster Presbyterian Church, No, 2080 BLVD, West Hartford, CT, 11/2021, Elder, NONPROFIT, 4HR, My role requires me to attend a monthly Session meeting, chair a church committee, and attend church

9)The Leukemia & Lymphoma Society. Not Investment Related. 3 International Drive Rye Brook, NY 10573. Non-Profit Organization. Member. Start Date: 10/16/2024. 2 hrs/ month; 1 hr/ month during trading hours. The Leadership Team members are responsible for nominating and recruiting candidates for the 2025 Visionaries of the year campaign and then supporting and inspiring the candidates during the 2025 campaign.

10) Leadership Greater Hartford. Not Investment Related. 1049 Asylum Avenue Hartford, CT 06105. Not for Profit Organization. Member, Board of Directors. Start Date: 12/01/2024. 1 hr/ month; all during trading hours. Support and be a champion for the Organizations mission, purposes, goals, policies, and programs

## Disclosure Events



### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
  -
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
  -
4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	3	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	Securities Service Network, Inc.
<b>Allegations:</b>	<p>Original Customer Complaint: Client alleges that the representative recommended an unsuitable concentration of retirement assets into illiquid and speculative investments. The investments were made in 2007 into the ICON Leasing Fund Twelve and NNN Office REIT.</p> <p>Arbitration: In addition to the above the Claimant alleges various causes of action including breach of fiduciary duty, breach of contract and violations of the CT Uniform Securities Act. The crux of the claims relate to Mr. Hammond's alleged failure to either advise or somehow stop the client from withdrawing large amounts from his portfolio (consisting of the above REITs, mutual funds and a variable annuity).</p>
<b>Product Type:</b>	<p>Annuity-Variable</p> <p>Direct Investment-DPP &amp; LP Interests</p> <p>Mutual Fund</p>
<b>Alleged Damages:</b>	\$275,707.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Claimant refers to the above amount as "market adjusted damages for underperformance of the portfolio" within the Statement of Claim. Original Customer Complaint did not contain a specific damage allegation.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes



**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 01/24/2018

**Complaint Pending?** No

**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 06/06/2018

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 19-00727

**Date Notice/Process Served:** 03/25/2019

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 10/01/2019

**Monetary Compensation Amount:** \$24,999.00

**Individual Contribution Amount:** \$5,000.00

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** Securities Service Network

**Allegations:** Client alleges that the representative recommended an unsuitable concentration of retirement assets into illiquid and speculative investments. The investments were made in 2007 into the ICON Leasing Fund Twelve and NNN Office REIT.

**Product Type:** Annuity-Variable



Direct Investment-DPP & LP Interests  
Mutual Fund

**Alleged Damages:**

\$275,707.00

**Alleged Damages Amount  
Explanation (if amount not  
exact):**

Claimant refers to the above amount as "market adjusted damages for under performance of the portfolio" within the Statement of Claim. Original Customer Complaint did not contain specific damage allegation.

**Is this an oral complaint?**

No

**Is this a written complaint?**

Yes

**Is this an arbitration/CFTC  
reparation or civil litigation?**

No

**Customer Complaint Information**

**Date Complaint Received:**

01/24/2018

**Complaint Pending?**

No

**Status:**

Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:**

06/06/2018

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Arbitration Information**

**Arbitration/CFTC reparation  
claim filed with (FINRA, AAA,  
CFTC, etc.):**

FINRA

**Docket/Case #:**

19-00727

**Date Notice/Process Served:**

03/15/2019

**Arbitration Pending?**

No

**Disposition:**

Settled

**Disposition Date:**

10/01/2019

**Monetary Compensation  
Amount:**

\$24,999.00

**Individual Contribution  
Amount:**

\$5,000.00

**Broker Statement**

In 2007 the client invested in a diversified, suitable portfolio to provide income in retirement. Over the following ten years the client drew down the principal in the investment accounts to provide an unsustainable income for a multi-home lifestyle. Despite the client's claim of not being aware of the situation, the client met with the advisor semi-annually over the 10 years where the decreasing investment values and inability to sustain the withdrawals being requested were routinely discussed. The advisor chose to settle this arbitration rather than incur additional legal fees to defeat the client claims.

**Disclosure 2 of 2**

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	Securities Service Network, Inc.
<b>Allegations:</b>	Client purchased a non traded REIT in 2007 and alleges that it was sold as a safe alternative to his annuity. He further alleges that misrepresentations were made in the sales process.
<b>Product Type:</b>	Direct Investment-DPP & LP Interests
<b>Alleged Damages:</b>	\$5,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	No specific damage amount is alleged. The client complains that he will only receive \$8,750 on his \$50,000 investment when the REIT is liquidated.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

**Customer Complaint Information**

<b>Date Complaint Received:</b>	03/06/2017
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	06/06/2018
<b>Settlement Amount:</b>	\$10,000.00
<b>Individual Contribution Amount:</b>	\$10,000.00

**Firm Statement**

Prospectus and risk disclosures were provided to client prior to investing. Investment appeared consistent with client's financial profile, profession as a real estate professional, sophistication, and risk tolerance and represented less than 5% of his stated net worth.

**Reporting Source:**

Broker

**Employing firm when activities occurred which led to the complaint:**

Securities Service Network

**Allegations:**

Client purchased a non traded REIT in 2007 and alleges that it was sold as a safe alternative to his annuity. He further alleges misrepresentations were made in the sales process.

**Product Type:**

Direct Investment-DPP & LP Interests

**Alleged Damages:**

\$5,000.00

**Alleged Damages Amount Explanation (if amount not exact):**

No specific damage amount is alleged. The client complains the he will only receive \$8750 on his \$50,000 investment when the REIT is liquidated.

**Is this an oral complaint?**

No

**Is this a written complaint?**

Yes

**Is this an arbitration/CFTC reparation or civil litigation?**

No

**Customer Complaint Information****Date Complaint Received:**

03/06/2017

**Complaint Pending?**

No

**Status:**

Settled

**Status Date:**

06/06/2018

**Settlement Amount:**

\$10,000.00

**Individual Contribution Amount:**

\$10,000.00

**Broker Statement**

Prospectus and risk disclosures were provided to client prior to investing. Investment appeared consistent with client's financial profile, profession as a real estate professional, sophistication, and risk tolerance and represented less than 5% of his stated net worth.





## Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	SECURITIES SERVICE NETWORK, INC.
<b>Allegations:</b>	CLIENT ALLEGES THAT MR. HAMMOND "FAILED TO PROTECT MY INVESTMENT PRINCIPAL." THE CLIENT REFERS TO 2008 AS THE TIME PERIOD OF THE ALLEGED LOSSES.
<b>Product Type:</b>	CD Mutual Fund Real Estate Security
<b>Alleged Damages:</b>	\$34,415.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	CLIENT DOES NOT MAKE A CLAIM FOR DAMAGES, HOWEVER SHE LISTS THE ABOVE AS THE AMOUNT OF HER LOSSES.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	08/18/2009
<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	08/19/2009
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	CLIENT WAS A LONG TIME CLIENT WHOSE ACCOUNT APPRECIATED AND



OUTPERFORMED THE S&P 500 AND THE DOW DURING THE COURSE OF THE RELATIONSHIP. SHE HAD A GROWTH AND INCOME OBJECTIVE WITH A MODERATE RISK TOLERANCE.

## End of Report



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