



IAPD Report

TROY GLEN HAMMOND

CRD# 2254232

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

TROY GLEN HAMMOND (CRD# 2254232)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **06/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WORLD INVESTMENT ADVISORS, LLC	CRD# 208512	05/20/2015
B	WORLD INVESTMENTS, LLC	CRD# 20626	05/29/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	PENSIONMARK SECURITIES, LLC	283952	Santa Barbara, CA	05/31/2017 - 10/31/2025
B	CAPFINANCIAL SECURITIES, LLC.	126291	Santa Barbara, CA	05/28/2015 - 05/15/2022
IA	CAPTRUST	175112	RALEIGH, NC	05/28/2015 - 05/15/2022

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Criminal	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **9** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **WORLD INVESTMENTS, LLC**
Main Address: 437 NEWMAN SPRINGS ROAD
LINCROFT, NJ 07738
Firm ID#: 20626

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	05/29/2025
B	FINRA	General Securities Representative	Approved	05/29/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	05/29/2025
B	California	Agent	Approved	05/29/2025
B	Florida	Agent	Approved	10/31/2025
B	Indiana	Agent	Approved	10/31/2025
B	Maryland	Agent	Approved	10/31/2025
B	New Hampshire	Agent	Approved	10/31/2025
B	New Jersey	Agent	Approved	06/04/2025
B	North Carolina	Agent	Approved	10/31/2025
B	Oregon	Agent	Approved	10/31/2025
B	West Virginia	Agent	Approved	10/31/2025

Branch Office Locations



Qualifications

WORLD ADVISORY SERVICES

24 E Cota Street
Suite 200
santa barbara, CA 93101

WORLD ADVISORY SERVICES

24 East Cota Street
Suite 200
Santa Barbara, CA 93101

Employment 2 of 2

Firm Name: **WORLD INVESTMENT ADVISORS, LLC**
Main Address: 437 NEWMAN SPRINGS ROAD
LINCROFT, NJ 07738
Firm ID#: 208512

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	05/20/2015

Branch Office Locations

WORLD INVESTMENT ADVISORS, LLC
437 NEWMAN SPRINGS ROAD
LINCROFT, NJ 07738




Qualifications

PASSED INDUSTRY EXAMS




This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

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
 General Securities Principal Examination (S24)	Series 24	02/24/2017

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	04/11/2013
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/22/1992

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	02/23/2010
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/22/1992

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 & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	05/31/2017 - 10/31/2025	PENSIONMARK SECURITIES, LLC	CRD# 283952	Santa Barbara, CA
B	05/28/2015 - 05/15/2022	CAPFINANCIAL SECURITIES, LLC.	CRD# 126291	Santa Barbara, CA
IA	05/28/2015 - 05/15/2022	CAPTRUST	CRD# 175112	RALEIGH, NC
IA	11/24/2010 - 09/30/2015	INDEPENDENT FINANCIAL PARTNERS	CRD# 125112	SANTA BARBARA, CA
B	11/30/2010 - 05/15/2015	LPL FINANCIAL LLC	CRD# 6413	SANTA BARBARA, CA
IA	04/03/2008 - 12/01/2010	NRP ADVISORS, INC.	CRD# 141430	SANTA BARBARA, CA
B	01/28/2008 - 11/30/2010	NRP FINANCIAL, INC.	CRD# 103717	SANTA BARBARA, CA
IA	11/27/2000 - 06/26/2008	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	SANTA BARBARA, CA
B	02/10/2000 - 06/26/2008	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	SANTA BARBARA, CA
B	07/24/1992 - 12/31/1999	ARAGON FINANCIAL SERVICES, INC.	CRD# 16023	IRVINE, CA

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2025 - Present	WORLD INVESTMENTS, INC.	Mass Transfer	Y	Santa Barbara, CA, United States
03/2017 - Present	PFG Securites LLC	Registered Representative	Y	Santa Barbara, CA, United States
05/2015 - Present	CAPTRUST FINANCIAL ADVISORS	FINANCIAL ADVISOR	Y	RALEIGH, NC, United States
05/2015 - Present	PENSIONMARK FINANCIAL GROUP, LLC	INVESTMENT ADVISER	Y	SANTA BARBARA, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2013 - Present	PENSIONMARK RETIREMENT GROUP	INVESTMENT ADVISOR	Y	SANTA BARBARA, CA, United States
05/2013 - Present	PENSIONMARK WEALTH MANAGEMENT	DBA	Y	Santa Barbara, CA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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. 6/7/2013: REAL ESTATE RENTAL - RYCAMA, LLC - ONE COMMERCIAL BUILDING WITH 5 TENANTS. - TIME SPENT 1% - SANTA BARBARA, CA.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
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Criminal	1
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Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	SOUTH MUNI COURT
Location of Court:	SANTA BARBARA, CALIFORNIA
Docket/Case #:	342498 - 3
Charge Date:	08/07/1990
Charge(s) 1 of 1	
Formal Charge(s)/Description:	THEFT OF PERSONAL PROPERTY
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NOT GUILTY
Disposition of charge:	Amended
Date of Amended Charge:	10/07/1990
Charge was Amended or reduced to:	TRESPASS - OCCUPY PROPERTY WITHOUT CONSENT
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	NOLO CONTENDERE
Disposition of Amended Charge:	Dismissed
Current Status:	Final



Status Date: 12/13/1991

Disposition Date: 12/13/1991

Sentence/Penalty: DISMISSED PURSUANT TO PC 1203.4 PC (12/13/1991)

Broker Statement WHILE IN COLLEGE, HAD A DISPUTE WITH A STORE CLERK OVER A PAIR OF SNEAKERS AND ARGUED WITH THE STORE GUARD. ORIGINAL CHARGE WAS CHANGED TO TRESPASS, WHICH IS A NON-REPORTABLE OFFENSE HEREUNDER. CHARGE WAS DISMISSED UNDER 1203.4 PC.



End of Report

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