



## IAPD Report

# GREGORY S HAMMER

CRD# 2391874

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

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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

### GREGORY S HAMMER (CRD# 2391874)

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 **02/25/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PROSPERITY CAPITAL ADVISORS	CRD# 156480	11/15/2012

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	INNOVATION PARTNERS LLC	146344	Schererville, IN	11/01/2020 - 01/06/2025
B	MERCAP SECURITIES, LLC	156607	SCHERERVILLE, IN	11/09/2012 - 11/02/2020
B	ALLIED BEACON PARTNERS, INC.	46227	SCHERERVILLE, IN	10/03/2011 - 11/06/2012

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
Customer Dispute	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 **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **PROSPERITY CAPITAL ADVISORS**  
Main Address: 30400 DETROIT ROAD  
SUITE 201  
WESTLAKE, OH 44145  
Firm ID#: 156480

	Regulator	Registration	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	11/15/2012
IA	Indiana	Investment Adviser Representative	Approved	11/16/2012
IA	Texas	Investment Adviser Representative	Restricted Approval	03/21/2017

#### Branch Office Locations

**PROSPERITY CAPITAL ADVISORS**  
222 INDIANAPOLIS BLVD  
SUITE 201  
SCHERERVILLE, IN 46375




## 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, 2 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	08/08/1997

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/15/1993

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/29/2008
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/15/1993

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## 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	11/01/2020 - 01/06/2025	INNOVATION PARTNERS LLC	CRD# 146344	Schererville, IN
B	11/09/2012 - 11/02/2020	MERCAP SECURITIES, LLC	CRD# 156607	SCHERERVILLE, IN
B	10/03/2011 - 11/06/2012	ALLIED BEACON PARTNERS, INC.	CRD# 46227	SCHERERVILLE, IN
IA	10/03/2011 - 11/06/2012	ALLIED BEACON WEALTH MANAGEMENT, LLC	CRD# 134922	SCHAUMBURG, IL
IA	05/20/2008 - 09/30/2011	WORKMAN SECURITIES CORPORATION	CRD# 31898	SCHERERVILLE, IN
B	11/10/2006 - 09/30/2011	WORKMAN SECURITIES CORPORATION	CRD# 31898	SCHERERVILLE, IN
B	10/26/2005 - 11/09/2006	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	SCHERERVILLE, IN
B	06/14/2004 - 10/25/2005	ING FINANCIAL PARTNERS, INC.	CRD# 2882	WINDSOR, CT
B	04/12/2002 - 03/04/2004	WORLD GROUP SECURITIES, INC.	CRD# 114473	DULUTH, GA
B	03/19/1996 - 04/12/2002	WMA SECURITIES, INC.	CRD# 32625	DULUTH, GA
B	10/07/1994 - 03/25/1996	FORTIS INVESTORS, INC.	CRD# 421	OAKDALE, MN
B	09/17/1993 - 08/18/1994	NYLIFE SECURITIES INC.	CRD# 5167	NEW YORK, NY

### 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
11/2012 - Present	C2P Capital Advisory Group, LLC dba Prosperity Capital Advisors	Investment Advisor Representative	Y	Westlake, OH, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2004 - Present	Hammer Financial Group, Inc. (d.b.a. for advisory business)	President, Investment Advisor Representative, Agent	Y	Schererville, IN, United States
10/2020 - 01/2025	Innovation Partners LLC	Registered Rep	Y	Charlotte, NC, United States
11/2012 - 11/2020	MERCAP SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	Paoli, PA, 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) Mr. Hammer is a licensed insurance agent conducting business from his registered location. In this capacity, he may offer fixed insurance products including but not to limited life insurance, annuities, disability insurance, long term care insurance and Medicare supplements and receives normal and customary commissions as a result of any sales. In addition, he may receive other compensation such as fixed life trails. Mr. Hammer spends approx. 10 hrs/week during trading hours on this activity.
- 2) Mr. Hammer is a board member for Peace Lutheran Church. Greg helps with policies, procedures and budget planning. Mr. Hammer spends approximately three hours per month on this activity. This is a non-investment related activity and Greg is not compensated.
- 3) Mr. Hammer works with the local chapter of the American Financial Education Alliance (AFEA). Mr. Hammer conducts several seminars per month to help eliminate financial illiteracy as part of his marketing efforts. Mr. Hammer spends approximately four hours per month on this activity during non-trading hours. There are no product sales or company names mentioned at these seminars.
- 4) Mr. Hammer is the Chairman of the Endowment Fund for Peace Lutheran Church. Greg helps make decisions on disbursements and direct contributions. Greg spends approximately one hour per month on this activity during non-trading hours. Greg does not manage the assets and is not compensated for this activity.
- 5) Mr. Hammer is the treasurer for Ducks Unlimited. Greg helps facilitate and run fund raisers for the organization. Greg spends approximately eight hours per month on this activity during non-trading hours. No compensation is received for this activity.
- 6) Gregory Hammer has ownership shares in Blu, LLC and C2P Enterprises, LLC which includes its affiliate C2P Capital Advisory Group, LLC d.b.a. Prosperity Capital Advisors (PCA). Mr. Hammer is not involved in the day-to-day operations of the company but is an advisor of PCA. Mr. Hammer spends less than one hour per month on this activity during non-trading hours.
- 7) Mr. Hammer sublets office space to an attorney earning rental income. Mr. Hammer spends approx 1 hour per month on this activity.
- 8) Mr. Hammer has a mentorship role at C2P Enterprises. Within this role he earns a de minimis amount for each call he holds with the mentee. Mr. Hammer spends approximately three hours per month on this activity during trading hours.
- 9) Mr. Hammer is the Owner of Hammer Financial Group which is the operating entity for Mr. Hammer's advisory, tax and insurance business. Mr. Hammer spends approximately forty hours per week during trading hours working under this entity.



## 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
Criminal	1
Customer Dispute	1

### 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

**If charge(s) were brought against an organization over which individual exercised control:**

**Organization Name:**

**Investment Related Business:** No

**Position:**

**Formal Charges were brought in:** State Court

**Name of Court:** Lake Superior Court

**Location of Court:** Crown Point, IN

**Docket/Case #:** 45G01-1912-F6-002469

**Charge Date:** 12/11/2019

#### Charge(s) 1 of 3

**Formal Charge(s)/Description:** Count I - Operating while intoxicated - endangering a person less than 18 years old - Level 6 Felony

**No of Counts:** 3

**Felony or Misdemeanor:** Felony

**Plea for each charge:** Not Guilty

**Disposition of charge:** Dismissed

**Date of Amended Charge:** 02/07/2020



**Charge was Amended or reduced to:** Please note that an Amended Information was filed adding Count VI, Reckless Driving as a Class C Misdemeanor (lowest misdemeanor in the State of Indiana) and the remaining charges were dismissed.

**Amended No of Counts:** 1

**Amended Charge:** Misdemeanor

**Amended Plea:** Guilty to Reckless Driving, a Class C Misdemeanor

**Disposition of Amended Charge:** Pled guilty

**Charge(s) 2 of 3**

**Formal Charge(s)/Description:** Count III - Operating while intoxicated - Class C Misdemeanor

**No of Counts:** 3

**Felony or Misdemeanor:** Misdemeanor

**Plea for each charge:** Not Guilty

**Disposition of charge:** Dismissed

**Charge(s) 3 of 3**

**Formal Charge(s)/Description:** Count II - Operating while intoxicated - endangering a person - Class A Misdemeanor

**No of Counts:** 3

**Felony or Misdemeanor:** Misdemeanor

**Plea for each charge:** Not Guilty

**Disposition of charge:** Dismissed

**Current Status:** Final

**Status Date:** 02/07/2020

**Disposition Date:** 02/07/2020

**Sentence/Penalty:** Sentencing Date Scheduled for 02/21/2020

**Broker Statement** The criminal matter in Lake County Superior Court was disposed 02/07/2020. Please note that an Amended Information was filed adding Count VI, Reckless Driving as a Class C Misdemeanor (lowest misdemeanor in the State of Indiana)and the remaining charges were dismissed.



## Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 1

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** WMA SECURITIES, INC.

**Allegations:** CLIENTS ALLEGE MISREPRESENTATION REGARDING SURRENDER CHARGES AND RISK OF PRINCIPAL ON THEIR VARIABLE UNIVERSAL LIFE POLICIES ISSUED 5/16/00 AND 5/26/00.

**Product Type:** Insurance

**Alleged Damages:** \$57,829.61

### Customer Complaint Information

**Date Complaint Received:** 04/11/2001

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 07/23/2001

**Settlement Amount:** \$12,715.67

**Individual Contribution Amount:** \$0.00

**Broker Statement** ON AN EXCEPTION BASIS, PRODUCT PROVIDER AGREED TO WAIVE SURRENDER CHARGES IN THE AMOUNT OF \$12715.67. WMAS HAS DETERMINED THAT THERE IS NO EVIDENCE OF ANY SALES PRACTICE VIOLATIONS AND NO FURTHER ACTION HAS BEEN TAKEN.



## End of Report

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