IAPD Report

STEVEN EDWARD HAMANT

CRD# 2487744

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.

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

STEVEN EDWARD HAMANT (CRD# 2487744)

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 **01/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	04/16/2021
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	04/16/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	LINCOLN FINANCIAL SECURITIES CORPORATION	3870	GLEN ALLEN, VA	12/23/2014 - 04/19/2021
IA	LINCOLN FINANCIAL SECURITIES CORPORATION	3870	GLEN ALLEN, VA	12/23/2014 - 04/19/2021
B	LPL FINANCIAL LLC	6413	GLEN ALLEN, VA	06/25/2004 - 12/31/2014

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
Customer Dispute	1
Termination	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 **11** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH, INC.**

Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757

Firm ID#: 39543

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	04/16/2021
B	FINRA	General Securities Representative	Approved	04/16/2021
B	FINRA	Registered Options Principal	Approved	04/16/2021
B	Colorado	Agent	Approved	01/06/2026
B	Kentucky	Agent	Approved	08/21/2024
B	Maryland	Agent	Approved	10/25/2023
B	Massachusetts	Agent	Approved	02/13/2023
B	Michigan	Agent	Approved	08/04/2021
B	New Jersey	Agent	Approved	04/16/2021
B	North Carolina	Agent	Approved	04/16/2021
B	Ohio	Agent	Approved	04/16/2021
B	South Carolina	Agent	Approved	04/16/2021
B	Virginia	Agent	Approved	04/16/2021

Qualifications

	Regulator	Registration	Status	Date
B	West Virginia	Agent	Approved	04/16/2021

Branch Office Locations

CAMBRIDGE INVESTMENT RESERARCH, INC.
2971 Valley Ave.
Ste. 101
Winchester, VA 22601

CAMBRIDGE INVESTMENT RESERARCH, INC.
4050 Innslake Dr.
Suite 110
Glen Allen, VA 23060

Employment 2 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**

Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757

Firm ID#: 134139

	Regulator	Registration	Status	Date
IA	Virginia	Investment Adviser Representative	Approved	04/16/2021

Branch Office Locations

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
2971 Valley Ave.
Suite 101
Winchester, VA 22601

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
4050 Innslake Dr.
Ste. 110
Glen Allen, VA 23060

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 2 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Registered Options Principal Examination (S4)	Series 4	01/30/2002
B	General Securities Principal Examination (S24)	Series 24	05/16/2001

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/06/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/25/2003
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/23/1994

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	12/23/2014 - 04/19/2021	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	GLEN ALLEN, VA
IA	12/23/2014 - 04/19/2021	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	GLEN ALLEN, VA
B	06/25/2004 - 12/31/2014	LPL FINANCIAL LLC	CRD# 6413	GLEN ALLEN, VA
IA	06/25/2004 - 12/31/2014	LPL FINANCIAL LLC	CRD# 6413	GLEN ALLEN, VA
IA	03/07/2003 - 07/08/2004	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	RICHMOND, VA
B	04/20/2001 - 07/08/2004	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST. PETERSBURG, FL
B	01/25/1999 - 04/24/2001	JOSEPHTHAL & CO., INC.	CRD# 3227	NEW YORK, NY
B	08/05/1998 - 12/23/1998	BRANCH, CABELL & CO., INC.	CRD# 6820	RICHMOND, VA
B	02/17/1995 - 08/26/1998	H.J. MEYERS & CO., INC.	CRD# 15609	ROCHESTER, NY
B	07/01/1994 - 02/03/1995	DMG SECURITIES, INC.	CRD# 15480	GREAT FALLS, VA
B	05/09/1994 - 07/06/1994	F.N. WOLF & CO., INC.	CRD# 13051	

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
04/2021 - Present	Cambridge Investment Research Advisors, Inc.	Investment Advisor Representative	Y	Fairfield, IA, United States
04/2021 - Present	Cambridge Investment Research, Inc.	Registered Representative	Y	Fairfield, IA, United States
12/2014 - 04/2021	LINCOLN FINANCIAL SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	GLEN ALLEN, VA, United States

Registration & Employment History

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) DEEP RUN FINANCIAL, 4461 COX RD, STE 101, GLEN ALLEN, VA, NOTARY, 09/03/02, NIR, 1 HR/YR- 0/TRADING HR.

2) DEEP RUN FINANCIAL, 4461 COX RD, STE 101, GLEN ALLEN, VA, DBA, PRESIDENT, 01/01/05, NIR, 0/HR YR-0/TRADING HR.

3) INTEGRITY FINANCIAL, 4429 BONNEY RD, STE 450, VIRGINIA BEACH, VA, INDEPENDENT INSURANCE AGENT FOR VARIOUS INDEPENDENT INSURANCE COMPANIES, 01/01/15, NIR, 10 HR/YR- 1/TRADING HR.

4) CIRA, 1776 PLEASANT PLAIN RD, FAIRFIELD, IA, AS ADVISORY REP OF A RIA. INV REL-8 hr/mo-80/TRADING. 04/16/21 -IAR THAT MANAGES CLIENT ASSETS OR PREPARES FINANCIAL PLANS FOR A FEE. OBA FORM SUBMITTED ON FINANCIAL PROFESSIONAL 'S BEHALF, BY CIR HOME OFFICE. TIME SPENT AND INCOME ARE ESTIMATED.

5) FINRA ARBITRATOR, 4461 Cox Rd., Suite 101, Glen Allen VA 23060, United States, 07/01/2023, Finra Arbitrator, Arbitration, NIR, 2 HR/MO - 0 HR/MO TRADING

6) NOTARY, 4461 Cox Rd., Suite 101, Glen Allen VA 23060, United States, 06/22/2023, Notary, NIR, 1 HR/MO - 1 HR/MO TRADING

7. RIVER CITY FINANCIAL, 4050 Innslake Dr., Suite 110, Glen Allen VA 23060, United States, 05/01/2024, Vice President, Owner/Partner of a Business Entity, NIR, 40 HR/MO - 40 HR/MO TRADING

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
Customer Dispute	1
Termination	1

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: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: CUSTOMER'S AGENT (POA) ALLEGED UNAUTHOROIZED
AND UNSUITABLE TRADES WERE MADE IN CUSTOMER'S ACCOUNT RESULTING
IN LOSSES OF $13,600.

Product Type:

Alleged Damages: $13,600.00

Customer Complaint Information

Date Complaint Received: 11/30/1998

Complaint Pending? No

Status: Withdrawn

Status Date: 12/07/1998

Settlement Amount:

Individual Contribution Amount:

Firm Statement CUSTOMER'S AGENT WITHDREW THE COMPLAINT.
REGISTERED REPRESENTATIVE HAMANT WAS TERMINATED.
CUSTOMER'S ACCOUNT IS HANDLED

BY MR. WILLIAMS HART, JR. HER POA. MR. HART IS A CPA WHO TRANACTS BUSINESS THROUGH RR. HAMANT. MR. HART ORIGINALLY ISSUED A VERBAL COMPLAINT AND THEN FOLLOWED IN WRITING ALLEGING
UNAUTHORIZED TRADES AND UNSUITABLE INVESTMENTS. MR. HART SUBSEQUENTLY RETRACTED HIS COMPLAINT AND IT WAS DETERMINDED THAT HE HAD GIVEN RR HAMANT VERBAL DISCRETION. RR HAMANT EMPLOYED DISCRETION WITHOUT OBTAINING A WRITTEN AUTHORIZATION IN CUSTOMER'S ACCOUNT.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	
Allegations:	ALLEGATIONS THAT I MADE AN UNAUTHORIZED TRADE IN THE CLIENTS ACCOUNT RESULTING IN LOSSES OF $13,600. EQUITIES
Product Type:	
Alleged Damages:	$13,600.00

Customer Complaint Information

Date Complaint Received:	11/30/1998
Complaint Pending?	No
Status:	Withdrawn
Status Date:	12/07/1998
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CUSTOMERS AGENT WITHDREW THE COMPLAINT THE CLIENT WROTE A LETTER SAYING I MADE AN UNAUTHORIZED TRADE. AFTER MEETING WITH THE CLIENT. HE REALIZED THERE WAS A MISCOMMUNICATION BETWEEN US AND HE DROPPED THE COMPLAINT AND SENT THE FIRM A RETRACTION LETTER

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	BRANCH, CABELL & CO., INC.
Termination Type:	Discharged
Termination Date:	12/10/1998
Allegations:	NONE THAT I MADE AN UNAUTHORIZED TRADE IN A CLIENT`S ACCOUNT AND I COERCED THE CLIENT INTO DROPPING THE CHARGE. THE COMPANY SETTLED WITH A CLIENT ON A TRADING MISTAKE OF $6,000. THE BRANCH MANAGER TOLD ME THAT IC COULD SETTLE DIRECTLY WITH THE CLIENT TO AVOID THE $6,000 TO BE DIRECTLY TAKEN OUT OF MY PAYCHECK. THE PRESIDENT FOUND THAT I DID NOT FOLLOW COMPANY PROCEDURE AND TERMINATED ME DESPITE GETTING APPROVAL FROM MY BRANCH MANAGER.
Product Type:	Other
Other Product Types:	EQUITY SECURITY
Broker Statement	DISCHARGED ON 12/10/1998. THE CLIENT ADMITTED TO ME HE HAD ACKNOWLEDGEMENT OF ALL ACTIVITY IN THE ACCOUNT AND IT WAS A VOLUNTARY ACT ON HIS PART TO DROP THE COMPLAINT. THE COMPLAINT WAS DETRACTED IN WRITING.

End of Report

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