



IAPD Report

STEPHEN PATRICK HARTMANN

CRD# 2629236

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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.



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

STEPHEN PATRICK HARTMANN (CRD# 2629236)

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 **05/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL ENTERPRISE, LLC	CRD# 8733	06/24/2025
IA	LPL ENTERPRISE, LLC	CRD# 8733	06/24/2025

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
IA	ASHTON THOMAS SECURITIES, LLC	16629	DELMAR, NY	08/23/2021 - 06/25/2025
B	ASHTON THOMAS SECURITIES, LLC	16629	DELMAR, NY	01/27/2005 - 06/25/2025
B	ESSEX NATIONAL SECURITIES, INC.	25454	NAPA, CA	01/05/2000 - 09/23/2004

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	2



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 1

Firm Name: **LPL ENTERPRISE, LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 8733

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	06/24/2025
B	FINRA	General Securities Representative	Approved	06/24/2025
B	Alabama	Agent	Approved	07/02/2025
B	Connecticut	Agent	Approved	07/08/2025
B	Florida	Agent	Approved	06/24/2025
B	Maryland	Agent	Approved	07/02/2025
B	Missouri	Agent	Approved	06/24/2025
B	New York	Agent	Approved	06/24/2025
IA	New York	Investment Adviser Representative	Approved	06/24/2025
B	North Carolina	Agent	Approved	06/24/2025
B	Pennsylvania	Agent	Approved	06/24/2025
B	South Carolina	Agent	Approved	06/25/2025
B	Vermont	Agent	Approved	06/24/2025



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	06/25/2025

Branch Office Locations

LPL ENTERPRISE, LLC
2 HOWARD PLACE
SUITE 1
DELMAR, NY 12054

LPL ENTERPRISE, LLC
2 Howard Place
Suite 1
Delmar, NY 12054



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	11/02/2005

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	07/28/1999
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/19/1995

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	09/11/2007
	Uniform Securities Agent State Law Examination (S63)	Series 63	07/31/1995

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
IA	08/23/2021 - 06/25/2025	ASHTON THOMAS SECURITIES, LLC	CRD# 16629	DELMAR, NY
B	01/27/2005 - 06/25/2025	ASHTON THOMAS SECURITIES, LLC	CRD# 16629	DELMAR, NY
B	01/05/2000 - 09/23/2004	ESSEX NATIONAL SECURITIES, INC.	CRD# 25454	NAPA, CA
B	08/24/1998 - 12/31/1999	LEIGH BALDWIN & CO., LLC	CRD# 38751	CAZENOVIA, NY
B	06/24/1996 - 08/25/1998	NYLIFE SECURITIES INC.	CRD# 5167	NEW YORK, NY
B	06/30/1995 - 05/14/1996	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

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
06/2025 - Present	LPL ENTERPRISE LLC	REGISTERED REPRESENTATIVE	Y	Delmar, NY, United States
01/2005 - 06/2025	ASHTON THOMAS SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	DELMAR, NY, 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.

- 06/23/2025 - Hartmann Property Mgmt, LLC - Real Estate Rental - Delmar, NY - INV REL - Start Date 01/01/2016 - 5hrs/mth
- 06/23/2025 - American Marketing assn - Non-Profit Board Member - Albany, NY - NOT INV REL - Start Date 01/01/2020 - 10hrs/mth
- 06/23/2025 - Hartmann Financial Group, LLC - Business Entity For Tax/Investment Purposes Only - Delmar, NY - NOT INV REL - Start Date 01/01/2016 - 40hrs/mth
- 06/24/2025-Stephen Hartmann-Financial Professional-Non-Variable Insurance/Insurance Agency-Inv related-At Voorheesville, NY-Start date 06/20/2025-160hrs/mth-160hrs/mth during trading
- 06/24/2025-Prudential Advisors-Financial Professional-DBA for LPL Business (entity for LPL business)-Inv related-At reported business location(s)-Start date 06/20/2025-160hrs/mth-160hrs/mth during trading
- 03/27/2026-Anchor Point Financial Advisors-Advisor-DBA for LPL Business (entity for LPL business)-Inv related-At reported business location(s)-Start date 02/06/2026-160hrs/mth-160hrs/mth during 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
Criminal	1
Customer Dispute	2

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
Court Details:	SCHENECTADY POLICE DEPARTMENT
Charge Date:	09/13/1991
Charge Details:	ORIGINAL CHARGE: FELONY BURGLARY IN THE 3RD DEGREE. PLEA TO MISDEMEANOR TRESSPASS
Felony?	Yes
Current Status:	Final
Status Date:	03/11/1992
Disposition Details:	THE ORIGINAL CHARGE OF BURGLARY IN THE THIRD DEGREE WAS REDUCED TO THE MISDEMEANOR OF CRIMINAL TRESSPASS N THE SECOND DEGREE. I PLEAD GUILTY TO THE MISDEMEANOR CHARGE, PAID A #500 FINE, AND WAS GRANTED A CONDITIONAL DISCHARGE.
Broker Statement	ON THE DAY AFTER MY 21ST BIRTHDAY, I WAS INTOXICATED AND ENTERED MY FORMER SCHOOL DORMITORY THROUGH AN OPEN KITCHEN WINDOW AND WAS ARESSTED BY THE SCEMECTADY POLICE. I WAS RELEASED AND PLED TO A MISDEMEANOR ON 3/11/97.



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 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ESSEX NATIONAL SECURITIES

Allegations: CUSTOMER HAS SUBMITTED A LETTER FROM THE REPRESENTATIVE INDICATING A GUARANTEE OF PRINCIPAL BY ESSEX NATIONAL SECURITIES. THIS GUARANTEE WAS NOT VALID NOR WAS THE LETTER AUTHORIZED.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$38,000.00

Customer Complaint Information

Date Complaint Received: 03/18/2005

Complaint Pending? No

Status: Settled

Status Date: 08/24/2005

Settlement Amount: \$34,073.68

Individual Contribution Amount: \$0.00

Firm Statement AS MENTIONED ABOVE, [CUSTOMER] SUBMITTED EVIDENCE SHOWING THAT THE REPRESENTATIVE PROVIDED A GUARANTEE OF PRINCIPAL BY ENSI WHICH WAS UNAUTHORIZED AND INVALID. ENSI SETTLED WITH [CUSTOMER] BY AGREEING TO MAKE WHOLE HIS INITIAL INVESTMENT. THE SETTLEMENT AMOUNT OF \$34,073.68 WAS DETERMINED ON AUGUST 24, 2005. ENSI INTENDS TO REQUEST A FULL CONTRIBUTION FROM THE REPRESENTATIVE FOR THE SETTLEMENT AMOUNT.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: ESSEX NATIONAL SECURITIES

Allegations: I DO NOT HAVE ACCESS TO THIS CUSTOMERS FILE SINCE I AM NO LONGER EMPLOYED BY ESSEX NATIONAL SECURITIES. TO THE BEST OF MY RECOLLECTION [CUSTOMER] PURCHASED AN ANNUITY IN MARCH 2000, EXPECTING THE 5% INCOME RIDER. APPROXIMATELY ONE YEAR LATER THE CLIENT HAD QUESTIONS THE 5% INCOME GUARANTEE.IT WAS NOTICED AT THAT TIME THAT THE POLICY DID NOT INDICATE THE GUARANTEE RIDER. I (S.HARTMAN) CALLED ALLSTATE AND THEY INDICATED THAT THE RIDER WAS NOT INDICATED ON THE ORIGINAL APPLICATION, AND THAT THEY WOULD LOOK INTO HOW TO RESOLVED



THIS PROBLEM. [CUSTOMER] WAS ASSURED THAT THE PROBLEM WAS BEING RESOLVED(RIDER BEING ADDED TO CONTRACT).THE CLIENT ASSUMED THAT THIS PROBLEM HAD BEEN CORECTED AND NOW THE CUSTOMER WANTED TO EXERCISE HIS RIDER, AND IT IS NOT IN EFFECT.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$38,000.00

Customer Complaint Information

Date Complaint Received: 03/18/2005

Complaint Pending? No

Status: Settled

Status Date: 08/24/2005

Settlement Amount: \$34,073.68

Individual Contribution Amount: \$0.00

Broker Statement BASED UPON EVIDENCE SUBMITTED BY [CUSTOMER], ENSI AGREED TO SETTLE WITH [CUSTOMER] IN THE AMOUNT OF \$34,076.68.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ESSEX NATIONAL SECURITIES, INC.

Allegations: ALLEGED GUARANTEED PRINCIPAL.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$16,610.00

Customer Complaint Information

Date Complaint Received: 09/04/2002

Complaint Pending? No

Status: Denied

Status Date: 09/27/2002

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00



End of Report

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