



IAPD Report

TROY VICTOR HARTMAN

CRD# 2936505

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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

TROY VICTOR HARTMAN (CRD# 2936505)

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 **02/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	02/23/2018
IA	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	02/23/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	KENDALLVILLE, IN	08/11/2017 - 03/16/2018
IA	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	KENDALLVILLE, IN	08/11/2017 - 03/16/2018
IA	EDWARD JONES	250	KENDALLVILLE, IN	03/26/2008 - 09/05/2017

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 **22** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PROSPERA FINANCIAL SERVICES, INC.**
Main Address: 5429 LBJ FREEWAY
SUITE 750
DALLAS, TX 75240
Firm ID#: 10740

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/23/2018
B	FINRA	Operations Professional	Approved	02/23/2018
B	Alaska	Agent	Approved	11/17/2025
B	Arizona	Agent	Approved	02/23/2018
B	California	Agent	Approved	02/23/2018
B	Colorado	Agent	Approved	09/15/2025
B	Florida	Agent	Approved	02/23/2018
B	Georgia	Agent	Approved	11/19/2020
B	Illinois	Agent	Approved	08/31/2022
IA	Indiana	Investment Adviser Representative	Approved	02/23/2018
B	Indiana	Agent	Approved	02/27/2018
B	Kansas	Agent	Approved	02/23/2018
B	Kentucky	Agent	Approved	02/23/2018



Qualifications

Regulator	Registration	Status	Date
B Louisiana	Agent	Approved	04/09/2018
B Maine	Agent	Approved	10/27/2025
B Massachusetts	Agent	Approved	08/28/2019
B Michigan	Agent	Approved	02/23/2018
B New Jersey	Agent	Approved	12/07/2020
B North Carolina	Agent	Approved	11/18/2020
B Ohio	Agent	Approved	02/23/2018
B South Dakota	Agent	Approved	01/21/2020
B Tennessee	Agent	Approved	02/23/2018
B Texas	Agent	Approved	02/23/2018
IA Texas	Investment Adviser Representative	Restricted Approval	03/02/2026
B Washington	Agent	Approved	02/23/2018
B Wisconsin	Agent	Approved	02/23/2018

Branch Office Locations

PROSPERA FINANCIAL SERVICES, INC.
 710 Goodwin Place
 Kendallville, IN 46755

PROSPERA FINANCIAL SERVICES, INC.
 5429 LBJ FREEWAY
 SUITE 750
 DALLAS, TX 75240



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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	09/30/1997
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	03/24/2008
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Uniform Securities Agent State Law Examination (S63)	Series 63	10/03/1997
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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	08/11/2017 - 03/16/2018	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	KENDALLVILLE, IN
IA	08/11/2017 - 03/16/2018	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	KENDALLVILLE, IN
IA	03/26/2008 - 09/05/2017	EDWARD JONES	CRD# 250	KENDALLVILLE, IN
B	10/01/1997 - 09/05/2017	EDWARD JONES	CRD# 250	KENDALLVILLE, IN

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
02/2018 - Present	Prospera Financial Services Inc.	Registered Representative	Y	Dallas, TX, United States
08/2017 - 02/2018	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	KENDALLVILLE, IL, United States
06/1997 - 08/2017	EDWARD D. JONES & CO., L.P.	Financial Advisor	Y	KENDALLVILLE, IN, 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.

MR. HARTMAN IS PRESIDENT OF TCHB, LLC LOCATED AT 1245 HILLTOP DR., ROME CITY IN 46784. THIS BUSINESS IS NOT INVESTMENT RELATED SPENDING 1-9% OF HIS WEEKLT TIME NONE DURING MARKET HOURS. COMPENSATION IS 1-9% OF HIS ANNUAL INCOME. HARTMAN GROUP, INV RELATED, KENDALLVILLE, IN, START: 8/11/2017, 1 HOURS PER MONTH/0 DURING TRADING, DUTIES: PRESIDENT OF BUSINESS.



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: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: 6/04-11-07; CLIENT STATES BETWEEN 12/07 AND 12/08, HIS ACCOUNT HAS LOST NEARLY 40% OF ITS VALUE WHICH INCLUDES HIS DAUGHTER'S COLLEGE SAVINGS AND 529 PLANS. CLIENT STATES AN "INDEPENDENT ANALYSIS" REFLECTS THE CURRENT PORTFOLIO ALLOCATION IS EXTREMELY AGGRESSIVE. CLIENT ALLEGES HIS GOALS AND OBJECTIVES WERE DISCUSSED WITH THE FA ON NUMEROUS OCCASIONS AND HE EXPECTED THE EARNINGS FROM THE INVESTMENTS TO VARY, BUT "ANTICIPATED" THE INITIAL AMOUNT(S) INVESTED WOULD BE PROTECTED. CLIENT REQUESTS THAT THE FIRM REFUND THE FULL AMOUNT INVESTED LESS WITHDRAWALS. LOSSES EXCEED \$5,000.00.

Product Type: Mutual Fund

Alleged Damages: \$5,000.00

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: 01/23/2009



Complaint Pending?

No

Status:

Denied

Status Date:

05/26/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement

ACCORDING TO FA, CLIENT ESTABLISHED A 529 PLAN FOR HIS DAUGHTER IN 3/2007. FA HAS INDICATED CLASS C SHARES WERE CHOSEN, BECAUSE CLIENT WOULD BE WITHDRAWING MONEY FROM THE ACCOUNT WITHIN 1-5 YEARS. FA INDICATED THE FUNDS WERE INVESTED IN A DIVERSIFIED MIX OF MUTUAL FUNDS THAT WERE BASED ON DISCUSSIONS HE HAD WITH THE CLIENT RELATED TO HIS INVESTMENT GOALS. IT IS OUR UNDERSTANDING WHEN THE MONEY FROM THE DAUGHTER'S GRANDPARENTS WAS DEPOSITED 10/31/07, CLIENT WAS HAPPY WITH THE PERFORMANCE OF THE MUTUAL FUNDS AND IT WAS DECIDED THAT THE MONEY WOULD BE INVESTED IN THE SAME MANNER AS WHEN THE ACCOUNT WAS ESTABLISHED. IN CLIENT'S LETTER, HE INDICATED HE INFORMED FA, "I DON'T WANT TO BE CRAZY CONSERVATIVE WITH THESE TYPES OF FUNDS", AND, AS A RESULT, VARIOUS MUTUAL FUNDS WERE CHOSEN (I.E. LARGE CAP VALUE, GROWTH AND INCOME, INTERNATIONAL AND SMALL CAP). WHILE WE CERTAINLY UNDERSTAND CLIENT'S DISAPPOINTMENT IN THE PERFORMANCE OF THE MUTUAL FUNDS HELD IN THE 529 ACCOUNT, WE HAVE BEEN EXPERIENCING TUMULTUOUS MARKET CONDITIONS AND MARKET FLUCTUATION IS A RISK ASSOCIATED WITH INVESTING. FA HAS INDICATED WHEN HE SPOKE WITH CLIENT IN JANUARY 2009 REGARDING HIS CONCERNS, HE OFFERED TO MEET TO DISCUSS ALTERNATIVE INVESTMENT CHOICES; HOWEVER, CLIENT DECLINED HIS OFFER. BASED ON OUR REVIEW OF THIS MATTER, WE RESPECTFULLY DENY CLIENT'S REQUEST TO REIMBURSE THE LOSSES ASSOCIATED WITH THE 529 ACCOUNT SINCE DECEMBER 31, 2007.



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: Firm

Firm Name: Wells Fargo Advisors Financial Network, LLC.

Termination Type: Discharged

Termination Date: 02/23/2018

Allegations: Allegations of concerns about accuracy of disclosures to Firm during pre-hire process. Not customer related.

Product Type: No Product

Reporting Source: Individual

Firm Name: Wells Fargo Advisors

Termination Type: Discharged

Termination Date: 02/23/2018

Allegations: It is our understanding that the registered associate was discharged based upon concerns about accuracy of the disclosures to the Firm during the pre-hire process. This is not customer related.

Product Type: No Product



End of Report

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