



IAPD Report

ROBERT GREGORY HAMMOND

CRD# 4019419

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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

ROBERT GREGORY HAMMOND (CRD# 4019419)

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 **01/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	HAMMOND ILES WEALTH ADVISORS	CRD# 136372	07/19/2005
B	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	05/16/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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	CEROS FINANCIAL SERVICES, INC.	37869	Wethersfield, CT	03/14/2016 - 04/04/2022
B	SECURITIES SERVICE NETWORK, INC.	13318	OLD LYME, CT	01/13/2000 - 03/02/2016
IA	KELLY FINANCIAL GROUP	109797	WETHERSFIELD, CT	02/28/2000 - 09/07/2005

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	3



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

Employment 1 of 2

Firm Name: **PURSHE KAPLAN STERLING INVESTMENTS**
Main Address: 80 STATE STREET
ALBANY, NY 12207
Firm ID#: 35747

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	05/16/2022
B	FINRA	General Securities Representative	Approved	05/16/2022
B	FINRA	Operations Professional	Approved	05/16/2022
B	Arizona	Agent	Approved	10/18/2024
B	Arkansas	Agent	Approved	05/17/2022
B	California	Agent	Approved	05/17/2022
B	Connecticut	Agent	Approved	05/17/2022
B	Florida	Agent	Approved	05/17/2022
B	Georgia	Agent	Approved	10/15/2025
B	Maine	Agent	Approved	05/17/2022
B	Maryland	Agent	Approved	05/17/2022
B	Massachusetts	Agent	Approved	06/30/2022
B	Missouri	Agent	Approved	10/20/2025



Qualifications

Regulator	Registration	Status	Date
B New Hampshire	Agent	Approved	07/13/2022
B New Jersey	Agent	Approved	05/17/2022
B New York	Agent	Approved	05/17/2022
B North Carolina	Agent	Approved	05/31/2022
B Ohio	Agent	Approved	05/17/2022
B Pennsylvania	Agent	Approved	05/18/2022
B Rhode Island	Agent	Approved	05/24/2022
B South Carolina	Agent	Approved	07/07/2022
B South Dakota	Agent	Approved	06/08/2022
B Tennessee	Agent	Approved	05/17/2022
B Texas	Agent	Approved	05/16/2022
B Vermont	Agent	Approved	05/17/2022
B Virginia	Agent	Approved	05/18/2022

Branch Office Locations

652 Boston Post Road
Suite 3
Gilford, CT 06109

11710 Plaza America Dr., St. 2000
Reston, VA 20190

100 Great Meadow Road
Suite 701
Wethersfield, CT 06109

Employment 2 of 2

Firm Name: **HAMMOND ILES WEALTH ADVISORS**



Qualifications

Main Address: 100 GREAT MEADOW ROAD
SUITE 701
WETHERSFIELD, CT 06109
Firm ID#: 136372

	Regulator	Registration	Status	Date
IA	Connecticut	Investment Adviser Representative	Approved	07/19/2005
IA	Texas	Investment Adviser Representative	Restricted Approval	07/20/2005
IA	Virginia	Investment Adviser Representative	Approved	09/23/2022

Branch Office Locations

HAMMOND ILES WEALTH ADVISORS
100 GREAT MEADOW ROAD
SUITE 701
WETHERSFIELD, CT 06109

HAMMOND ILES WEALTH ADVISORS
11710 PLAZA AMERICA DRIVE
SUITE 2000
RESTON, VA 20190

HAMMOND ILES WEALTH ADVISORS
652 BOSTON POST ROAD
SUITE 3
GUILFORD, CT 06437



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	11/01/1999

General Industry/Product Exams

Exam	Category	Date
Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	10/05/1999

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	12/21/1999
Uniform Securities Agent State Law Examination (S63)	Series 63	11/17/1999

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	03/14/2016 - 04/04/2022	CEROS FINANCIAL SERVICES, INC.	CRD# 37869	Wethersfield, CT
B	01/13/2000 - 03/02/2016	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	OLD LYME, CT
IA	02/28/2000 - 09/07/2005	KELLY FINANCIAL GROUP	CRD# 109797	WETHERSFIELD, CT
B	10/06/1999 - 01/24/2000	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC

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
04/2022 - Present	PURSHE KAPLAN STERLING INVESTMENTS	REGISTERED REPRESENTATIVE	Y	ALBANY, NY, United States
02/2000 - Present	KELLY FINANCIAL GROUP, LLC DBA HAMMOND ILES WEALTH ADVISORS	MANAGING MEMBER, ADVISORY REPRESENTATIVE	Y	WETHERSFIELD, CT, United States
03/2016 - 03/2022	CEROS FINANCIAL SERVICES, INC.	INDEPENDENT CONTRACTOR	Y	ROCKVILLE, MD, 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) KELLY FINANCIAL GROUP, LLC D/B/A HAMMOND ILES WEALTH ADVISORS - 100 GREAT MEADOW ROAD, SUITE 701, WETHERSFIELD, CT 06109, INVESTMENT REL - CEO/CIO - RIA - 11/19/2000 - 120 HR/MO/TRD HRS - Provide advice to clients.
- 2) THE CONNECTICUT FORUM - 750 MAIN STREET, HARTFORD, CT 06103 - 501(C)(3) ORGANIZATION - ADVISORY BOARD - NOT INVESTMENT REL - 5/1/2010 - 1 HR/MO/TRD HRS - The Connecticut Forum periodically moderates meetings with the Advisory Board to discuss potential future Forum topics and panelists, possible Forum questions for panelists, and reviews and feedback after Forums are held.
- 3) CONNECTICUT COMMUNITY CARE, INC. - 43 ENTERPRISE DRIVE, BRISTOL, CT 06010-7472 NOT INVESTMENT REL - NON-PROFIT - SERVE A 3 YEAR TERM AS A CCCI CORPORATOR - 7/1/2010 - 1 HR/MO - 0 HR/MO/TRD HRS - CCCI is a care management service for the elderly and disabled in Connecticut. Corporators are community members that serve as a resource to CCCI and its Board.
- 4) R. GREGORY HAMMOND - NOT INVESTMENT - OWNER - AUTHOR/SPEAKER/CONSULTANT ON INDIVIDUAL BASIS 2/1/2012 - 3 HRS/MO, 0 HR/MO/TRD HRS - I inspire and empower people and organizations to create more meaningful legacies



Registration & Employment History



OTHER BUSINESS ACTIVITIES

and greater impact. My services include writing, public speaking, professional training and strategic planning for individuals, families, financial professionals, industry associations, and nonprofit organizations.

5) Fixed Insurance/The Pinnacle Group - NOT INVESTMENT - 04/2004 - AGENT - Fixed / Traditional Insurance - Sales of Fixed / Traditional insurance products - 3 HRS/MO DURING TRADING HOURS. Provide advice to clients.

6) CONNECTICUT CHILDREN'S MEDICAL CENTER FOUNDATION - NON-PROFIT - NOT INVESTMENT - 282 Washington Street, Hartford, CT 06106 -STEERING COMMITTEE MEMBER - 2/5/21 - 1 HR/MO, 1 HR/MO DURING TRADING HOURS - As a member of the Steering Committee I participate in meetings to discuss future group events, recruiting and fund-raising to grow Connecticut Children's Connection, and in the annual evaluation and selection process to award the funds raised to a research

7) Financial Freedom Centers, LLC - not investment related - 100 Great Meadow Road, Suite 701, Wethersfield, CT 06109 - Partnership to own and lease commercial real estate - Founder/Managing Member - 07/13/2021 - 1 per mo/trading - Financial Freedom Centers, LLC was formed to own and lease commercial real estate. As a member I am responsible for the rental and maintenance of the real estate owned. Partnership income may be earned if the lease income exceeds the expenses of the property owned.

8) Westminster Presbyterian Church. Non-investment related. 2080 BLVD, West Hartford, CT. Board President. 11/2021. NONPROFIT. 4. 0 during securities trading hours. To lead and support the Church's ministries.

9) Blood Cancer United. Not Investment Related. 3 International Drive Rye Brook, NY 10573. Non-Profit Organization. Member. Start Date: 10/16/2024. 2 hrs/ month; 1 hr/ month during trading hours. The Leadership Team members are responsible for nominating and recruiting candidates for the 2025 Visionaries of the year campaign and then supporting and inspiring the candidates during the 2025 campaign.

10) Leadership Greater Hartford. Not Investment Related. 1049 Asylum Avenue Hartford, CT 06105. Not for Profit Organization. Treasurer, Board of Directors. Start Date: 12/01/2024. 1 hr/ month; all during trading hours. Support and be a champion for the Organizations mission, purposes, goals, policies, and programs



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	3

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Securities Service Network, Inc.
Allegations:	<p>Original Customer Complaint: Client alleges that the representative recommended an unsuitable concentration of retirement assets into illiquid and speculative investments. The investments were made in 2007 into the ICON Leasing Fund Twelve and NNN Office REIT.</p> <p>Arbitration: In addition to the above the Claimant alleges various causes of action including breach of fiduciary duty, breach of contract and violations of the CT Uniform Securities Act. The crux of the claims relate to Mr. Hammond's alleged failure to either advise or somehow stop the client from withdrawing large amounts from his portfolio (consisting of the above REITs, mutual funds and a variable annuity).</p>
Product Type:	Annuity-Variable Direct Investment-DPP & LP Interests Mutual Fund
Alleged Damages:	\$275,707.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant refers to the above amount as "market adjusted damages for underperformance of the portfolio" within the Statement of Claim. Original Customer Complaint did not contain a specific damage allegation.
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: 01/24/2018

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 06/06/2018

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 19-00727

Date Notice/Process Served: 03/25/2019

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/01/2019

Monetary Compensation Amount: \$24,999.00

Individual Contribution Amount: \$5,000.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Securities Service Network

Allegations: Client alleges that the representative recommended an unsuitable concentration of retirement assets into illiquid and speculative investments. The investments were made in 2007 into the ICON Leasing Fund Twelve and NNN Office REIT.

Product Type: Annuity-Variable
Direct Investment-DPP & LP Interests
Mutual Fund

Alleged Damages: \$275,707.00

Alleged Damages Amount Explanation (if amount not exact): Claimant refers to the above amount as "market adjusted damages for under performance of the portfolio" within the Statement of Claim. Original Customer Complaint did not contain specific damage allegation.

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: 01/24/2018
Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 06/06/2018
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA
Docket/Case #: 19-00727
Date Notice/Process Served: 03/15/2019
Arbitration Pending? No
Disposition: Settled
Disposition Date: 10/01/2019
Monetary Compensation Amount: \$24,999.00
Individual Contribution Amount: \$5,000.00

Broker Statement

In 2007 the client invested in a diversified, suitable portfolio to provide income in retirement. Over the following ten years the client drew down the principal in the investment accounts to provide an unsustainable income for a multi-home lifestyle. Despite the client's claim of not being aware of the situation, the client met with the advisor semi-annually over the 10 years where the decreasing investment values and inability to sustain the withdrawals being requested were routinely discussed. The advisor chose to settle this arbitration rather than incur additional legal fees to defeat the client claims.

Disclosure 2 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: Securities Service Network, Inc.

Allegations: Client purchased a non traded REIT in 2007 and alleges that it was sold as a safe alternative to his annuity. He further alleges that misrepresentations were made in the sales process.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): No specific damage amount is alleged. The client complains that he will only receive \$8,750 on his \$50,000 investment when the REIT is liquidated.

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: 03/06/2017

Complaint Pending? No

Status: Settled

Status Date: 06/06/2018

Settlement Amount: \$10,000.00

Individual Contribution
Amount: \$10,000.00

Firm Statement Prospectus and risk disclosures were provided to client prior to investing. Investment appeared consistent with client's financial profile, profession as a real estate professional, sophistication, and risk tolerance and represented less than 5% of his stated net worth.

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** Securities Service Network

Allegations: Client purchased a non traded REIT in 2007 and alleges that it was sold as a safe alternative to his annuity. He further alleges misrepresentations were made in the sales process.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$5,000.00

**Alleged Damages Amount
Explanation (if amount not
exact):** No specific damage amount is alleged. The client complains the he will only receive \$8750 on his \$50,000 investment when the REIT is liquidated.

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: 03/06/2017

Complaint Pending? No

Status: Settled

Status Date: 06/06/2018

Settlement Amount: \$10,000.00

Individual Contribution
Amount: \$10,000.00

Broker Statement Prospectus and risk disclosures were provided to client prior to investing. Investment appeared consistent with client's financial profile, profession as a real



estate professional, sophistication, and risk tolerance and represented less than 5% of his stated net worth.

Disclosure 3 of 3

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

SECURITIES SERVICE NETWORK, INC.

Allegations:

CLIENT ALLEGES THAT MR. HAMMOND "FAILED TO PROTECT MY INVESTMENT PRINCIPAL." THE CLIENT REFERS TO 2008 AS THE TIME PERIOD OF THE ALLEGED LOSSES.

Product Type:

CD
Mutual Fund
Real Estate Security

Alleged Damages:

\$34,415.00

Alleged Damages Amount Explanation (if amount not exact):

CLIENT DOES NOT MAKE A CLAIM FOR DAMAGES, HOWEVER SHE LISTS THE ABOVE AS THE AMOUNT OF HER LOSSES.

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:

08/18/2009

Complaint Pending?

No

Status:

Closed/No Action

Status Date:

08/19/2009

Settlement Amount:**Individual Contribution Amount:****Broker Statement**

CLIENT WAS A LONG TIME CLIENT WHOSE ACCOUNT APPRECIATED AND OUTPERFORMED THE S&P 500 AND THE DOW DURING THE COURSE OF THE RELATIONSHIP. SHE HAD A GROWTH AND INCOME OBJECTIVE WITH A MODERATE RISK TOLERANCE.



End of Report

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