



IAPD Report

ROBERT DALE HAMILTON

CRD# 733504

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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

ROBERT DALE HAMILTON (CRD# 733504)

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 **04/14/2009**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PDS PLANNING INC	CRD# 106895	01/07/2005

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	ROYAL ALLIANCE ASSOCIATES, INC.	23131	COLUMBUS, OH	05/08/1990 - 04/14/2009
IA	PDS PLANNING INC	106895	COLUMBUS, OH	05/27/1999 - 12/31/2004
B	AETNA LIFE INSURANCE AND ANNUITY COMPANY	13256	COLUMBUS, OH	08/08/1983 - 08/30/1988

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
Regulatory Event	1
Customer Dispute	1
Termination	1
Bond	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PDS PLANNING INC**
Main Address: 475 METRO PLACE S.
SUITE 460
DUBLIN, OH 43017
Firm ID#: 106895

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	01/07/2005

Branch Office Locations

PDS PLANNING INC
1621 WEST FIRST AVENUE
COLUMBUS, OH 43212



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	11/23/1999

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination (S7)	Series 7	01/19/1985
Direct Participation Programs Representative Examination (S22)	Series 22	05/14/1982
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/25/1981

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	01/18/1984

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	05/08/1990 - 04/14/2009	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	COLUMBUS, OH
IA	05/27/1999 - 12/31/2004	PDS PLANNING INC	CRD# 106895	COLUMBUS, OH
B	08/08/1983 - 08/30/1988	AETNA LIFE INSURANCE AND ANNUITY COMPANY	CRD# 13256	
B	05/18/1984 - 04/05/1988	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	
B	06/29/1981 - 05/10/1984	MUTUAL BENEFIT FINANCIAL SERVICE COMPANY	CRD# 4882	

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
04/1990 - Present	ROYAL ALLIANCE ASSOCIATES, INC.	NOT PROVIDED	Y	COLUMBUS, OH, United States
06/1989 - Present	PDS PLANNING, INC.	FINANCIAL PLANNER/PRESIDENT	Y	COLUMBUS, OH, 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.

No information reported.



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
Regulatory Event	1
Customer Dispute	1
Termination	1
Bond	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: OHIO

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/18/1988

Docket/Case Number: 88-043

Employing firm when activity occurred which led to the regulatory action: FINANCIAL SERVICE GROUP, INC

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 03/18/1988

Sanctions Ordered: Suspension

Other Sanctions Ordered:



Sanction Details:

Regulator Statement

4/13/88-FORMS U6 (8212 and 8213-09588) DISCLOSES: ROBERT D. HAMILTON, STEPHEN E. TUMBLIN, JERRY W. SNYDER, ARTHUR P. MILLER, FINANCIAL SERVICE GROUP, INC., AND FINANCIAL SERVICE ASSOCIATES, INC., AGREED TO A SUSPENSION OF THE SALES OF INTERESTS IN A MORTGAGE POOL WHICH WAS NOT REGISTERED IN OHIO. THE FOUR INDIVIDUALS WERE NOT LICENSED TO SELL SECURITIES. IN ADDITION, ARTHUR MILLER RESIGNED AS A SECURITIES SALESMAN. DOCKET/CASE NO. 88-043, DATED MARCH 18, 1988.

Reporting Source:

Individual

Regulatory Action Initiated By:

* THE APPLICANT CONTACTED THE OHIO DIVISION OF SECURITIES

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated:

03/01/1988

Docket/Case Number:

88034

Employing firm when activity occurred which led to the regulatory action:

NEW ENGLAND SECURITIES CORP

Product Type:

Other Product Type(s):

Allegations:

* ALLEGATIONS OF AIDING AND ABETTING IN THE SALE OF UNREGISTERED SECURITIES KNOWN AS THE FSG INVESTMENT ACCOUNT.

Current Status:

Final

Resolution:

Consent

Resolution Date:

03/14/1988

Sanctions Ordered:

Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details:

* THE OHIO DIVISION OF SECURITIES ISSUED CEASE AND DESIST ORDER PROHIBITING THE SALE OF THE UNREGISTERED SECURITIES REFERENCED IN ITEM 7 ABOVE. THE APPLICANT AGREED TO THE CEASE AND DESIST ORDER WITHOUT ADMITTING LIABILITY.



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: NEW ENGLAND SECURITIES

Allegations: SALE OF INTEREST IN A MORTGAGE POOL STARTING IN 1982 THAT BECAME INSOLVENT IN 1987. IT WAS THE RESULT OF ACTIONS OF ARTHUR MILLER MAJORITY OWNER & CA FOR NEW ENGLAND SECURITIES . I BECAME A MINORITY SHAREHOLDER IN 1986. IT WAS DEEMED TO BE AN UNREGISTERED SECURITY DESPITE A WRITTEN LEGAL OPINION TO THE CONTRARY.

Product Type: Other

Other Product Type(s): MORTGAGE POOL

Alleged Damages: \$464,180.78

Customer Complaint Information

Date Complaint Received: 09/09/1988

Complaint Pending? No

Status: Litigation

Status Date: 09/20/1990

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: US DISTRICT; SOUTHERN DISTRICT OF OHIO EASTERN DIVISION; CASE NO. C2-88-871

Date Notice/Process Served: 09/09/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 09/20/1990

Monetary Compensation Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Broker Statement CLAIMS WERE SETTLED FOR AN AMOUNT GREATER THAN \$10,000, BUT I WAS NOT PART OF THE SETTLEMENT. ALL OTHER CLAIMS AGAINST ME WERE DISMISSED. COURT ORDER SPECIFICALLY STATED THAT THERE WAS NO FINDING OF LIABILITY AGAINST ME. EXACT DOLLAR OF



SETTLEMENT NOT KNOWN.



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:	NEW ENGLAND SECURITIES CORP
Termination Type:	Discharged
Termination Date:	03/28/1988
Allegations:	N/A ENGAGING IN PRIVATE SECURITIES TRANSACTIONS OUTSIDE THE SCOPE OF NEW ENGLAND SECURITIES CORPORATION
Product Type:	
Other Product Types:	
Broker Statement	TERMINATION OF STATUS AS A REGISTERED REPRESENTATIVE OF NEW ENGLAND SECURITIES CORPORATION THIS REGISTERED REPRESENTATIVE HAS CONSISTENTLY MAINTAINED THAT NEW ENGLAND SECURITIES CORPORATION KNEW OR SHOULD HAVE KNOWN OF THE EXISTENCE OF THE FSG INVESTMENT ACCOUNT AND THEREFORE RATIFIED OR APPROVED OF THE FSG INVESTMENT ACCOUNT SALES.



Bond

This disclosure event involves a bond for the Investment Adviser Representative that has been denied, paid, or revoked by a bonding company.

Disclosure 1 of 1

Reporting Source:	Individual
Policy Holder:	FINANCIAL SERVICE GROUP
Bonding Company Name:	LEXINGTON INSURANCE COMPANY
Disposition:	Payout
Disposition Date:	02/07/1990
Payout Details:	\$25000
Broker Statement	C2-88-0415 THE BONDING COMPANY LEXINGTON INSURANCE COMPANY PAID \$25,000 OF THE TOTAL SETTLEMENT OF APPROXIMATELY \$165,000 TO PLAINTIFFS. THIS AMOUNT WAS PAID ON BEHALF OF FINANCIAL SERVICE GROUP AND FOUR INDIVIDUAL DEFENDANTS, OF WHICH I AM ONE.



End of Report

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