



IAPD Report

DEREK JAMES HOGGETT

CRD# 823706

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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

DEREK JAMES HOGGETT (CRD# 823706)

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 **09/12/2025**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA INVESTA ASSET MANAGEMENT LLC	CRD# 157546	11/02/2011

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
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No information reported.

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
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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **INVESTA ASSET MANAGEMENT LLC**
Main Address: MARLIN, TX
Firm ID#: 157546

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	11/02/2011

Branch Office Locations

INVESTA ASSET MANAGEMENT LLC
MARLIN, TX



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, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	06/07/2011
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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:

No information reported.

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
03/2025 - Present	Windham School District	Substitute teacher	N	MARLIN, TX, United States
12/2024 - Present	Robinson ISD	Substitute Teacher	N	Robinson, TX, United States
10/2024 - Present	China Spring ISD	Substitute Teacher	N	China Spring, TX, United States
03/2011 - Present	INVESTA ASSET MANAGEMENT LLC	CHIEF EXECUTIVE MANAGER	Y	MARLIN, TX, United States
10/1987 - Present	O2 SOFTWARE, INC.	PRESIDENT	N	MARLIN, TX, United States
12/1981 - Present	INVESTA, INC.	PRESIDENT	N	MARLIN, TX, United States
09/2021 - 03/2024	Harmony Public Schools	High School Math Teacher	N	Beverly Hills, Waco, TX, United States
01/2019 - 04/2020	Mydatt Services, Inc	Safety Ambassador	N	Austin, TX, United States
11/2018 - 12/2018	EMSI	Application Specialist	N	Waco, TX, United States
03/2014 - 10/2018	FRONT STEPS	CUSTOMER SERVICE SPECIALIST	N	AUSTIN, TX, 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.

OWNER OF INVESTA INC. SINCE 1981. INVESTA INC IS NOT INVESTMENT-RELATED AND IS LOCATED AT 750 WESTWOOD DR MARLIN TX 76661 AND DEVELOPS INVESTMENT SOFTWARE. I SPEND LESS THAN 8 HOURS A MONTH WORKING FOR INVESTA, INC. AND ZERO HOURS DURING SECURITIES TRADING HOURS.

OWNER OF OZ SOFTWARE INC. SINCE 1987. OZ SOFTWARE INC. IS NOT INVESTMENT-RELATED AND IS LOCATED AT 750 WESTWOOD DR MARLIN TX 76661 AND DEVELOPS WEB SITES. I SPEND LESS THAN 8 HOURS A MONTH WORKING



Registration & Employment History



OTHER BUSINESS ACTIVITIES

FOR OZ SOFTWARE, INC., AND ZERO HOURS DURING SECURITIES TRADING HOURS.
I AM EMPLOYEED AS AS A TEACHER SUBSTITUTE AT CHINA SPRING ISD, ROBINSON ISD, AND WINDHAM SCHOOL DISTRICT; ALL NON-INVESTMENT-RELATED.
I WORK NO MORE THAN TWO DAYS A WEEK ON AVERAGE DURING SCHOOL DAYS.



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
Termination	1

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:	HOGGETT KALAS & CO., INC.
Termination Type:	Permitted to Resign
Termination Date:	10/26/1998
Allegations:	INTERNAL REVIEW AND ARBITRATION NASD ARBITRATION #98-03874 MATERIAL INTERFERENCE WITH THE ONGOING OPERATIONS OF THE FIRM. OBSTRUCTING THE TRANSFERENCE OF COMPANY STOCK. WRONGFUL TAKING OF PROPERTY. PERMITTED TO RESIGN AFTER BEING ENJOINED BY ARBITRATION PANEL. AS PART OF AN ARBITRATION AWARD, HOGGETT WAS ENJOINED, RESTRAINED AND PROHIBITED FROM TERMINATING FIRM'S PRINCIPALS, IMPEDING CUSTOMERS FROM ENTERING SECURITIES TRANSACTIONS, IMPEDING THE ONGOING BUSINESS OF THE FIRM. HOFFETT WAS ALSO ORDERED AND DIRECTED TO REPLACE ALL FUNDS WHICH WERE WRONGFULLY TAKEN BY HIM,
Product Type:	Other
Other Product Types:	NO PRODUCTS INVOLVED
Broker Statement	THE U-5 FILED WAS FALSE, MISLEADING AND LIBELOUS AND CHALLENGED IN AN NASD ARBITRATION OF A BUSINESS DISPUTE. IT WAS FILED BY MY FORMER BUSINESS PARTNERS TO GAIN ADVANTAGE IN THAT ARBITRATION AND TO HARM MY ABILITY TO BECOME A FINOP FOR THEIR RECENTLY DEPARTED BUSINESS PARTNER. I WAS NEVER "PERMITTED TO RESIGN". ON THE ADVICE OF COUNSEL, I RESIGNED VOLUNTARILY AND IMMEDIATELY AFTER RECEIVING A TEMPORARY INJUNCTIVE ORDER FROM THE ARBITRATOR PROHIBITING ME FROM COMPLETING MY INVESTIGATION OF NUMEROUS SECURITIES LAW VIOLATIONS BY MY EX-PARTNERS. NO INTERNAL REVIEW OF ME AT THE TIME OF MY RESIGNATION WAS OR COULD HAVE BEEN CONDUCTED SINCE I WAS THE PRESIDENT, THE SOLE OFFICER, THE CCO, THE FINOP, AND OWNER OF



80% OF THE STOCK. MY OPPONENTS' OWN FORMER BUSINESS PARTNER WILL TESTIFY THAT THERE WAS NO INTERNAL REVIEW. AS PART OF THE PENDING SETTLEMENT OF THAT DISPUTE, MY FORMER PARTNERS HAVE AGREED TO FILE AN AMENDED U-5 CLEARING ME OF THEIR FALSE ACCUSATIONS. THE U-5 DELIBERATELY AND MALICIOUSLY DISTORTED THE TEMPORARY INJUNCTIVE ORDER TO WRONGFULLY IMPLY THAT A FULL ARBITRATION HEARING HAD TAKEN PLACE AND AN "AWARD" MADE. THE ORDER WAS ONLY "UNTIL A FINAL DETERMINATION ON THE MERITS OF THE ISSUES BY THE FULL ARBITRATION TRIBUNAL". SINCE A SETTLEMENT WAS REACHED BEFORE ANY TRIBUNAL TOOK PLACE, NO AWARD WAS EVER MADE. THERE WAS NO WRONGFUL TAKING OF PROPERTY BY ME AND NONE HAS EVER HAD TO BE REPLACD. EVIDENCE PRODUCED IN THE ARBITRATION SHOWS THAT THE FIRM KNEW THIS AT THE TIME OF THE U-5 FILING.



End of Report

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