



## IAPD Report

# ROBERT LEE HAMMAN

CRD# 827526

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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 LEE HAMMAN (CRD# 827526)

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 **01/14/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	FIRST ASSET FINANCIAL INC.	CRD# 139107	06/06/2006
<b>IA</b>	CHIEF ADVISORS CORP	CRD# 125261	04/09/2007
<b>IA</b>	TC ADVISORS LTD.	CRD# 290891	01/24/2018
<b>IA</b>	CF ADVISORS LLC	CRD# 328940	12/04/2023
<b>B</b>	AMERICAN GLOBAL WEALTH MANAGEMENT, INC.	CRD# 7388	12/12/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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>B</b>	IRON STREET SECURITIES INC.	46338	SALINA, KS	03/22/1999 - 09/14/2006
<b>B</b>	AMERICAN HEARTLAND INVESTMENTS INC.	19768	SALINA, KS	11/18/1987 - 02/14/2000
<b>B</b>	WALL STREET OF AMERICA, INC.	13280	SALINA, KS	10/08/1987 - 10/30/1987

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**



## Report Summary

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	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 **9** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 5

Firm Name: **AMERICAN GLOBAL WEALTH MANAGEMENT, INC.**  
Main Address: 1600 PENNSYLVANIA AVE.  
MCDONOUGH, GA 30253  
Firm ID#: 7388

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	Compliance Officer	Approved	12/12/2025
<b>B</b>	FINRA	Financial and Operations Principal	Approved	12/12/2025
<b>B</b>	FINRA	General Securities Principal	Approved	12/12/2025
<b>B</b>	FINRA	General Securities Representative	Approved	12/12/2025
<b>B</b>	FINRA	Municipal Securities Principal	Approved	12/12/2025
<b>B</b>	FINRA	Municipal Securities Representative	Approved	12/12/2025
<b>B</b>	FINRA	Operations Professional	Approved	12/12/2025
<b>B</b>	FINRA	Registered Options Principal	Approved	12/12/2025
<b>B</b>	Colorado	Agent	Approved	01/06/2026
<b>B</b>	Illinois	Agent	Approved	01/07/2026
<b>B</b>	Iowa	Agent	Approved	01/05/2026
<b>B</b>	Kansas	Agent	Approved	12/15/2025
<b>B</b>	Michigan	Agent	Approved	12/16/2025



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Missouri	Agent	Approved	03/27/2026
<b>B</b> Nebraska	Agent	Approved	01/05/2026
<b>B</b> South Dakota	Agent	Approved	01/06/2026
<b>B</b> Texas	Agent	Approved	01/06/2026

### Branch Office Locations

110 E. Iron Ave  
Salina, KS 67401

110 E Iron Ave  
Salina, KS 67401

### Employment 2 of 5

Firm Name: **CHIEF ADVISORS CORP**  
 Main Address: 110 E. IRON AVE, SUITE B  
 SALINA, KS 67401  
 Firm ID#: 125261

Regulator	Registration	Status	Date
<b>IA</b> Kansas	Investment Adviser Representative	Approved	04/09/2007
<b>IA</b> Missouri	Investment Adviser Representative	Approved	04/29/2013
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	01/26/2026

### Branch Office Locations

**CHIEF ADVISORS CORP**  
110 E. IRON AVE, SUITE B  
SALINA, KS 67401

### Employment 3 of 5

Firm Name: **CF ADVISORS LLC**  
 Main Address: 110 E. IRON AVE  
 SUITE D  
 SALINA, KS 67401  
 Firm ID#: 328940



### Qualifications

Regulator	Registration	Status	Date
IA Kansas	Investment Adviser Representative	Approved	12/04/2023

### Branch Office Locations

**CF ADVISORS LLC**  
 110 E. IRON AVE  
 SUITE D  
 SALINA, KS 67401

### Employment 4 of 5

Firm Name: **FIRST ASSET FINANCIAL INC.**  
 Main Address: 110 E. IRON AVE.  
 SALINA, KS 67401  
 Firm ID#: 139107

Regulator	Registration	Status	Date
B FINRA	Financial and Operations Principal	Approved	06/06/2006
B FINRA	General Securities Principal	Approved	06/06/2006
B FINRA	General Securities Representative	Approved	06/06/2006
B FINRA	Municipal Securities Principal	Approved	06/06/2006
B FINRA	Municipal Securities Representative	Approved	06/06/2006
B FINRA	Registered Options Principal	Approved	06/06/2006
B FINRA	Operations Professional	Approved	12/02/2011
B FINRA	Compliance Officer	Approved	10/01/2018
B Kansas	Agent	Approved	08/01/2006

### Branch Office Locations

110 E. IRON AVE.  
 SALINA, KS 67401



## Qualifications

### Employment 5 of 5

Firm Name: **TC ADVISORS LTD.**  
Main Address: 110 E. IRON AVE.  
STE C  
SALINA, KS 67401  
Firm ID#: 290891

Regulator	Registration	Status	Date
<b>IA</b> Kansas	Investment Adviser Representative	Approved	01/24/2018

### Branch Office Locations

**TC ADVISORS LTD.**  
110 E. IRON AVE.  
STE C  
SALINA, KS 67401








## 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 5 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.**


#### Principal/Supervisory Exams

Exam	Category	Date
 Compliance Officer Examination (S14)	Series 14	01/02/2023
 Financial and Operations Principal Examination (S27)	Series 27	11/30/1987
 Registered Options Principal Examination (S4)	Series 4	04/14/1982
 Municipal Securities Principal Examination (S53)	Series 53	02/06/1982
 General Securities Principal Examination (S24)	Series 24	07/28/1981

#### General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Interest Rate Options Examination (S5)	Series 5	10/02/1987
 General Securities Representative Examination (S7)	Series 7	09/18/1976

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/05/2007



## Qualifications

### PASSED INDUSTRY EXAMS

#### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	03/17/1982

### 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	03/22/1999 - 09/14/2006	IRON STREET SECURITIES INC.	CRD# 46338	SALINA, KS
B	11/18/1987 - 02/14/2000	AMERICAN HEARTLAND INVESTMENTS INC.	CRD# 19768	SALINA, KS
B	10/08/1987 - 10/30/1987	WALL STREET OF AMERICA, INC.	CRD# 13280	
B	11/21/1986 - 10/09/1987	DEAN WITTER REYNOLDS INC.	CRD# 7556	
B	04/21/1986 - 12/03/1986	JACK L. WALTZ & CO., INC.	CRD# 3704	
B	04/07/1986 - 04/07/1986	WALL STREET AND HAMMAN	CRD# 10131	
B	09/16/1985 - 11/18/1985	EQUITEC SECURITIES COMPANY	CRD# 6463	
B	04/07/1982 - 09/19/1985	WALL STREET AND HAMMAN	CRD# 10131	
B	04/12/1983 - 08/28/1984	FULL SERVICE INVESTING, INC.	CRD# 13154	
B	09/22/1976 - 09/18/1981	EDWARD D. JONES & CO., L.P.	CRD# 250	

#### 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
11/2025 - Present	American Global Wealth Management	Compliance; registered representative	Y	McDonough, GA, United States
11/2023 - Present	CF Advisors LLC	Compliance Administrator	Y	Salina, KS, United States
01/2022 - Present	Robert Hamman, Consultant	Consultant	Y	Salina, KS, United States
10/2017 - Present	TC ADVISORS LTD	President	Y	Salina, KS, United States
01/2006 - Present	FIRST ASSET FINANCIAL INC.	PRESIDENT	Y	SALINA, KS, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2003 - Present	CHIEF ADVISORS CORPORATION	PRESIDENT	Y	SALINA, KS, 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.

FIRST ASSET FINANCIAL INC. (FAF) APPROVES THE FOLLOWING OUTSIDE NON-SECURITIES BUSINESS ACTIVITY THAT IS NOT INVESTMENT RELATED: HAMMAN WILL BE DOING CONSULTING AND INSURANCE SALES. THIS BUSINESS ACTIVITY IS CONDUCTED THROUGH AN ENTITY, ROBERT HAMMAN, CONSULTANT (WHICH OFFERS NO SECURITIES), THAT IS NOT CO-OWNED BY, NOR AN AFFILIATE OF FAF, LOCATED AT 110 E IRON AVE, SALINA, KS 67401. HAMMAN ACTS AS A COMPLIANCE & SERVICE CONSULTANT AS OWNER OF THE SOLE PROPRIETOR AS OF JANUARY 2022. HE DEVOTES ABOUT 2 HRS PER MONTH, 1 DURING MARKET HOURS AND 1 DURING NON-MARKET HOURS. COMPLIANCE CONSULTING REGARDING FORMS AND REGULATIONS IS PERFORMED FOR VARIOUS ENTITIES AND OFFERS INSURANCE PRODUCTS. ALL SERVICES AND PRODUCTS THAT ARE OFFERED BY THIS PERSON (OR THEIR DBA) ARE THE SOLE RESPONSIBILITY OF THIS AGENT (OR THEIR DBA) ALONE AND ARE NOT THE RESPONSIBILITY OF FAF. FAF IS NOT LIABLE IN ANY MANNER REGARDING THIS "OUTSIDE BUSINESS ACTIVITY".



## 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

### 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:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 07/30/1991

**Docket/Case Number:** C04910014

**Employing firm when activity occurred which led to the regulatory action:** AMERICAN HEARTLAND INVESTMENTS, INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 07/30/1991

**Sanctions Ordered:** Censure  
Monetary/Fine \$3,000.00

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement** ON JULY 30, 1991, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT C04910014 (DISTRICT NO. 4) SUBMITTED BY AMERICAN HEARTLAND



INVESTMENTS, INC. AND ROBERT LEE HAMMAN WAS ACCEPTED THEREFORE, THEY ARE CENSURED AND FINED \$3,000, JOINTLY AND SEVERALLY - (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT MEMBER, ACTING THROUGH RESPONDENT HAMMAN UTILIZED INSTRUMENTALITIES OF INTERSTATE COMMERCE TO CONDUCT A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS REQUIRED MINIMUM NET CAPITAL).  
 \*\*\*\$3,000.00 J&S PAID ON 8/20/91 INVOICE#91-04-951\*\*\*

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**Reporting Source:** Firm

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 07/30/1991

**Docket/Case Number:** C04910014

**Employing firm when activity occurred which led to the regulatory action:** AMERICAN HEARTLAND INVESTMENTS, INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 07/30/1991

**Sanctions Ordered:** Censure  
Monetary/Fine \$3,000.00

**Other Sanctions Ordered:**

**Sanction Details:**

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 07/30/1991

**Docket/Case Number:** C04910014



<b>Employing firm when activity occurred which led to the regulatory action:</b>	AMERICAN HEARTLAND INVESTMENTS, INC.
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	THE COMPLAINT ALLEGED MISCONDUCT ON 8-31-90 AND 9-28-90 THAT AM. HEARTLAND INVESTMENTS INC., ACTING THROUGH R. HAMMAN, VIOLATED ARTICLE III, SECTION 1 OF THE ASSOCIATION'S RULES OF FAIR PRACTICE BY FAILING TO MAINTAIN ADEQUATE MINIMUM REQUIRED NET CAPITAL.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Resolution Date:</b>	07/30/1991
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$3,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	WITHOUT ADMITTING OR DENYING THE EXISTENCE OF THE ANY VIOLATIVE ACTIVITY, AHI AND HAMMAN ACCEPTED AND CONSENTED TO FINDING BY THE ASSOCIATION OF THE OCCURENCE OF EVENTS AND ACTIVITIES BY ENTERING INTO A LETTER OF ACCEPTANCE, WAIVER AND CONSENT WITH THE NASD ON 5/29/91. THE AWC INCLUDED A CORRECTIVE ACTION STATEMENT & CONSENT TO SANCTIONS OF CENSURE AND A JOINT AND SEVERAL FINE OF \$3,000. THE LETTER WAS APPROVE BY NASD DBCC #4 ON 5/28/91 AND BY THE NAT. BCC ON 7-19-91
<b>Broker Statement</b>	ON AUGUST 31 AND SEPTEMBER 28, 1990 THE NASD ALLEGED THAT AHI WAS IN VIOLATION OF NET CAPITAL REQUIREMENTS. THIS WAS A RESULT OF INTERPRETATION OF THE NASD THAT BONDS HELD IN THE PERSONAL ACCOUNT OF R. HAMMAN THAT WERE SOLD TO THE CORPORATION WERE, BY INTERPRETATION, A PART OF THE CORPORATE HOLDINGS. BECAUSE THE BONDS WERE HELD IN THE PERSONAL ACCOUNT OF HAMMAN, IT WAS PERSONAL RISK OF HAMMAN, NOT THE FIRM. THE BONDS WERE SOLD ON A "RISKLESS PRINCIPAL" BASIS TO THE FIRM. DUE TO THE 100% OWNERSHIP OF STOCK OF THE CORP. THE NASD INTERPRETED HAMMAN'S PERSONAL ACCOUNT IN THE BONDS TO BE THE FIRM'S.



## End of Report

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