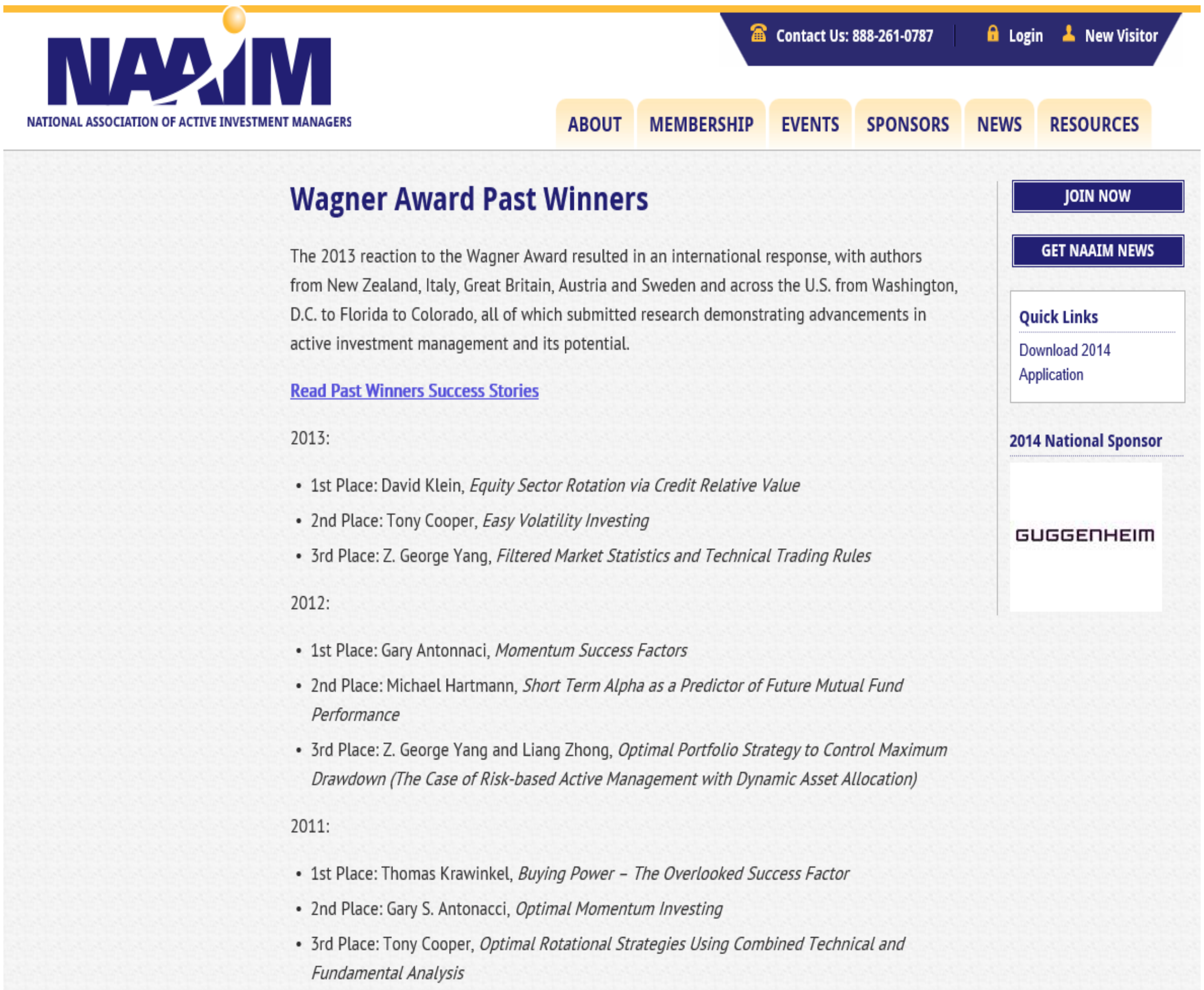
Michael K. Hartmann, CPA

Awarded 2012 Silver Medal – Wagner Awards for excellence in Research in Active Asset Management
Awarded 1997 Asset Manager of the Year by Moni Reserach -- Featured on cover of Wealth Magazine
MICHAEL KARL HARTMANN (CRD# 2511554)



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Wagner Award Past Winners

The 2013 reaction to the Wagner Award resulted in an international response, with authors from New Zealand, Italy, Great Britain, Austria and Sweden and across the U.S. from Washington, D.C. to Florida to Colorado, all of which submitted research demonstrating advancements in active investment management and its potential.

Read Past Winners Success Stories

2013:

- 1st Place: David Klein, *Equity Sector Rotation via Credit Relative Value*
- 2nd Place: Tony Cooper, *Easy Volatility Investing*
- 3rd Place: Z. George Yang, *Filtered Market Statistics and Technical Trading Rules*

2012:

- 1st Place: Gary Antonnaci, *Momentum Success Factors*
- 2nd Place: Michael Hartmann, *Short Term Alpha as a Predictor of Future Mutual Fund Performance*
- 3rd Place: Z. George Yang and Liang Zhong, *Optimal Portfolio Strategy to Control Maximum Drawdown (The Case of Risk-based Active Management with Dynamic Asset Allocation)*

2011:

- 1st Place: Thomas Krawinkel, *Buying Power – The Overlooked Success Factor*
- 2nd Place: Gary S. Antonacci, *Optimal Momentum Investing*
- 3rd Place: Tony Cooper, *Optimal Rotational Strategies Using Combined Technical and Fundamental Analysis*

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Mike Hartmann has a history of success as a financial professional, a program developer and the creator of innovative programs to help individuals and organization strategize and make the most of their monetary resources.

As a CPA with a Masters in Tax, Mike has operated full accounting and financial firms. His specialty is development and analysis. He is the developer of training and programs to help financial professionals become knowledgeable about the liability side of a person's financial balance sheet.

Mike is dedicated to helping people from various sectors make the most of their retirement assets through sophisticated asset management programs and services.

(2008 - Present)

Since 2008 Mr. Hartmann has been developing a high performance mutual fund analysis and trading system, which has been utilized in the trading of client accounts since July 1, 2009.

While reducing overall client account volatility it has substantially outperformed the benchmarks through a process of fund rotation, based on a proprietary metric.

Part of the system was disclosed in an academic research paper that received **the silver medal in the 2012 Wagner awards for excellence in research in active asset management.**

(2003 - 2008) Michael K. Hartmann, CPA

Wishing to spend more time with his family, Mike decided to change focus and operate a full service accounting, tax and financial consulting business in a rural/suburban area. He prepared financial statements, personal and corporate income tax returns and consulted on investment and lending questions.

His work included design and deliver of personal financial strategies - integrating a complete spectrum of financial tools (Investments, tax, mortgages and trusts) to maximize individual and family wealth. In this role he reviewed prior year tax returns for accuracy and recovered overpaid taxes for clients.

Part of Mike's responsibility included operations of a full service mortgage brokerage firm, growing the firm from startup to closing over $1.0 million in loans per month by the 10th month of existence.

(1999-2003) Senior Systems Developer-Max Logic, Inc.

From 1999 to 2003, Mike was Senior Systems Developer for Max Logic, Inc. In this position, Mike gathered requirements, designed, coded and delivered mission critical applications to various clients.

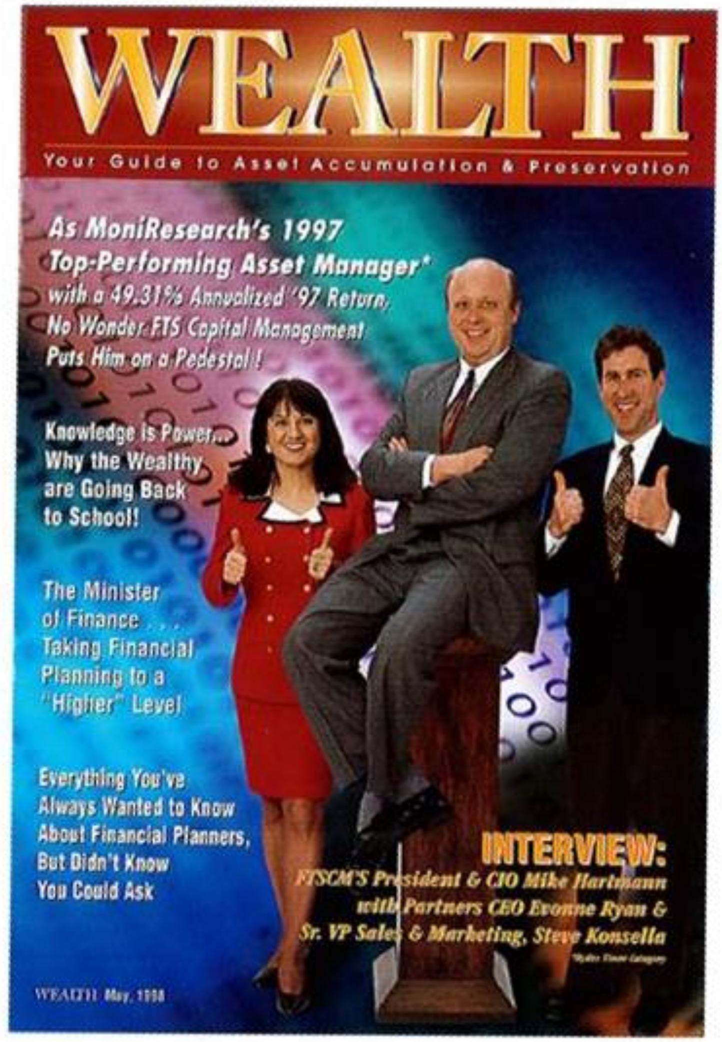
He delivered solutions including security selection system, compliance monitoring, as well as extensive web enabled database reporting solutions, designed data structure and implemented interface program for data acquisition, transformation and reconciliation, integrating various data sources between automated trading system and back office accounting software, and he designed and developed e-commerce reporting and analysis solution for a NYSE traded major retailer.

Mike developed automated a fundamental securities data acquisition system and integrated it into a proprietary research database.

Mike also designed and implemented retail e-commerce applications, including integration of on-line credit card processing, and secure electronic fulfillment. In this position Mike also supervised web developers and managed client relationships.

(1996-1999) Chief Investment Officer-FTS Capital Management Inc.

From 1996 – 1999 Mike managed over $35,000,000 in client funds with full discretionary authority as Chief Investment Officer for FTS Capital Management Inc. He analyzed investment opportunities and determined appropriate risk/reward parameters for investment accounts, and designed, tested, implemented and administrated cutting edge artificial intelligence market forecasting software models for both end of day and intraday market forecasts.



With that model Mike and his company earned MONIResearch's "Timer of the Year" distinction in 1997. During this time he ensured compliance with all regulations and guided the firm through a SEC audit.

(1994-1996) Registered Principal and Branch Manager-SunAmerica Securities

Mike served as a Registered Principal and Branch Manager for Sun America Securities. He prepared materials for and assisted representatives on technical sales calls. Developed comprehensive personal and business financial plans utilizing advanced tax and estate planning techniques.

With partner Evonne Ryan, Mike supervised 18 securities registered representatives and developed seminars and marketing programs for the sales force.

Mike developed internal software tools used for personal financial analysis, reviewed and approved securities transactions generated by representatives and he designed and administered mortgage prospecting program for financial planners in conjunction with Colorado Mortgage Professionals, Inc.

(1991-1994) Senior Financial Analyst-ARCO Coal Company

Mike was principally responsible for foreign currency risk management and foreign currency accounting for foreign operations. He was charged with drafting divisional budgets in excess of $100 million annually, and responsible for the associated performance reporting and control tasks. Mike advised, and presented to, executive management on various currency risk management strategies and their impact on corporate earnings while also being involved in the formulation of internal accounting policies and procedures regarding foreign currency translation. He provided significant accounting support to foreign operations in the design and implementation of treasury control systems, as well as acting as interim accounting manager for Australian operation while performing on-site foreign reviews of treasury management systems.

Mike coordinated with corporate finance the design and administration of a $600 million offshore commercial paper financing program resulting in annual company income of $15 million through utilization of foreign tax credits. He also assisted in implementation of financial reporting components of companywide ERP system.

Tax Analyst-ARCO Coal Company (1990-1991)

Mike was responsible for the data collection and preparation of US tax returns for all foreign subsidiaries of the company. He researched, designed and assisted in the automation of a foreign currency tax exposure risk management plan and assisted in the design and installation of a fixed asset management software package for a $500 million mine in Australia.

Tax Consultant-Price Waterhouse (1987-1990)

Mike supervised three tax associates in the preparation of individual, partnership and corporate income tax returns and reviewed their work product. He conducted tax research and drafted technical memorandums concerning various tax issues while also independently interacting with client top management to assist in implementation of various tax consulting projects, including transfer pricing studies that resulted in a multimillion dollar tax saving.

Mike also prepared individual, partnership and corporate income and excise tax returns.

Education

- MS Accounting (Taxation)-University of Denver 1987
- BS Accounting-University of Denver 1987
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Professional Certifications

- Certified Public Accountant 1989
- Registered Securities Representative (Series 7 and 63) 1994
- Registered Securities Principal (Series 24) 1995
- Registered Futures Representative (Series 3) 1998