BrokerCheck Report

AW SECURITIES

CRD# 103747

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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

AW SECURITIES

CRD# 103747

SEC# 8-52250

Main Office Location

340 PALLADIO PKWY
SUITE 501
FOLSOM, CA 95630
Regulated by FINRA San Francisco Office

Mailing Address

340 PALLADIO PKWY
SUITE 501
FOLSOM, CA 95630

Business Telephone Number

916-482-2196

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:

https://www.adviserinfo.sec.gov

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 10/26/2020.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 51 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 5 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**

The number of disclosures from non-registered control affiliates is 3

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 10/26/2020.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

HANSON MCCLAIN RETIREMENT NETWORK, LLC

Doing business as AW SECURITIES

CRD# 103747

SEC# 8-52250

Main Office Location

340 PALLADIO PKWY
SUITE 501
FOLSOM, CA 95630

Regulated by FINRA San Francisco Office

Mailing Address

340 PALLADIO PKWY
SUITE 501
FOLSOM, CA 95630

Business Telephone Number

916-482-2196

Other Names of this Firm

Name	Where is it used
AW SECURITIES	AK, AL, AR, AZ, CA, CO, CT, DC, DE, FL, GA, HI, IA, ID, IL, IN, KS, KY, LA, MA, MD, ME, MI, MN, MO, MS, MT, NC, ND, NE, NH, NJ, NM, NV, NY, OH, OK, OR, PA, RI, SC, SD, TN, TX, UT,

	VA, VT, WA, WI, WV, WY

Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	ALLWORTH FINANCIAL GROUP, L.P.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	GENERAL PARTNER
Position Start Date	07/2019
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	BEATON, DANIEL STEWART 4240769
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	07/2017
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	FRIZE, BERNARD JOSEPH JR 2366022
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER - BD
Position Start Date	01/2025

Direct Owners and Executive Officers (continued)

Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	GAMBLE, COREY C 4919573
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER - IA/ENTERPRISE CCO
Position Start Date	01/2025
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	GREENBERG, BARRY YALE 5863733
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF LEGAL COUNSEL
Position Start Date	06/2021
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	GRIGSBY, GARY LAWSON

Direct Owners and Executive Officers (continued)

	3167632
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO
Position Start Date	08/2021
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	TAYLOR, KRISTIAN LEIGH
	4163800
Is this a domestic or foreign entity or an individual?	Individual
Position	VICE PRESIDENT- OPERATIONS
Position Start Date	01/2022
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any):	2781807 ONTARIO LIMITED
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	OTPP/AFG, LLC
Relationship to Direct Owner	OWNER
Relationship Established	10/2020
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	AFG INTERMEDIATE, L.P.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	ALLWORTH FINANCIAL GROUP, L.P.
Relationship to Direct Owner	OWNER
Relationship Established	07/2019
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ALLWORTH FINANCIAL HOLDINGS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity

Indirect Owners (continued)

Company through which indirect ownership is established	AFG INTERMEDIATE, L.P.
Relationship to Direct Owner	OWNER
Relationship Established	10/2020
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ONTARIO TEACHER'S PENSION PLAN BOARD
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	2781807 ONTARIO LIMITED
Relationship to Direct Owner	OWNER
Relationship Established	10/2020
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	OTPP/AFG, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	ALLWORTH FINANCIAL HOLDINGS, LLC
Relationship to Direct Owner	OWNER
Relationship Established	10/2020

Firm Profile

Indirect Owners (continued)

Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	AFG PARENT GP, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	AFG INTERMEDIATE, L.P.
Relationship to Direct Owner	OTHER GENERAL PARTNERS
Relationship Established	10/2020
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.

Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 51 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	07/07/2000

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	07/07/2000

Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	10/06/2000
Alaska	Approved	08/14/2000
Arizona	Approved	09/27/2000
Arkansas	Approved	09/05/2000
California	Approved	08/15/2000
Colorado	Approved	08/04/2000
Connecticut	Approved	10/05/2000
Delaware	Approved	10/04/2000
District of Columbia	Approved	10/01/2000
Florida	Approved	09/07/2000
Georgia	Approved	08/31/2000
Hawaii	Approved	01/02/2001
Idaho	Approved	07/24/2000
Illinois	Approved	01/11/2001
Indiana	Approved	01/02/2001
Iowa	Approved	09/07/2000
Kansas	Approved	10/02/2000
Kentucky	Approved	08/21/2000
Louisiana	Approved	04/09/2001
Maine	Approved	09/18/2000
Maryland	Approved	08/15/2000
Massachusetts	Approved	08/16/2000
Michigan	Approved	01/31/2001
Minnesota	Approved	02/02/2001
Mississippi	Approved	09/20/2000
Missouri	Approved	09/01/2000
Montana	Approved	10/02/2000
Nebraska	Approved	02/01/2001
Nevada	Approved	07/25/2000
New Hampshire	Approved	11/18/2003
New Jersey	Approved	10/02/2000
New Mexico	Approved	10/03/2000
New York	Approved	11/06/2000

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	09/13/2000
North Dakota	Approved	09/27/2000
Ohio	Approved	11/29/2000
Oklahoma	Approved	09/25/2000
Oregon	Approved	08/16/2000
Pennsylvania	Approved	09/18/2000
Rhode Island	Approved	08/01/2000
South Carolina	Approved	10/04/2000
South Dakota	Approved	07/24/2000
Tennessee	Approved	01/08/2001
Texas	Approved	11/20/2000
Utah	Approved	07/25/2000
Vermont	Approved	10/06/2000
Virginia	Approved	09/29/2000
Washington	Approved	08/16/2000
West Virginia	Approved	09/14/2000
Wisconsin	Approved	08/16/2000
Wyoming	Approved	09/19/2000

Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 5 types of businesses.

Types of Business

Types of Business
Mutual fund retailer
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Investment advisory services
Broker or dealer selling tax shelters or limited partnerships in the secondary market

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.
This firm does engage in other non-securities business.

Non-Securities Business Description:	INSURANCE. HANSON MCCLAIN, NOW KNOWN AS AW SECURITIES, IS INSURANCE LICENSED IN ALL STATES.

Firm Operations

Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements

This firm does not have books or records maintained by a third party.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.

Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- **in control of**
- **controlled by**
- **or under common control with**

the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

ALLWORTH FINANCIAL, L.P. is under common control with the firm.

CRD #:	111167
Business Address:	340 PALLADIO PARKWAY SUITE 501 SACRAMENTO, CA 95630
Effective Date:	07/10/2017
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	BOTH HANSON MCCLAIN RETIREMENT NETWORK, LLC (D/B/A AW SECURITIES) AND ALLWORTH FINANCIAL, L.P. ARE UNDER COMMON CONTROL OF ALLWORTH FINANCIAL HOLDINGS.

This firm is not directly or indirectly, controlled by the following:

- **bank holding company**
- **national bank**
- **state member bank of the Federal Reserve System**
- **state non-member bank**
- **savings bank or association**
- **credit union**
- **or foreign bank**

Disclosure Events for Non-Registered Control Affiliates

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	3	0

Disclosure Event Details

Regulatory - Final

Disclosure 1 of 3

Reporting Source:	Firm
Affiliate:	ONTARIO TEACHERS' PENSION PLAN BOARD
Current Status:	Final
Allegations:	ON NOVEMBER 6, 2019, FINANSINSPEKTIONEN DECIDED THAT ON SEPTEMBER 27, 2017, ONTARIO TEACHERS' PENSION PLAN BOARD FAILED TO REPORT AN INCREASE IN ITS NET SHORT POSITION IN A SWEDISH ISSUER WITHIN THE PRESCRIBED TIME LIMIT. THE NOTIFICATION TO THE SWEDISH AUTHORITY WAS 74 MINUTES LATE.
Initiated By:	FINANSINSPEKTIONEN (FINANCIAL SUPERVISORY AUTHORITY (SWEDEN))
Date Initiated:	11/30/2017
Docket/Case Number:	FI DNR 17-20170
Principal Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Decision
Resolution Date:	11/06/2019
Sanctions Ordered:	Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	A FINE OF 2,500 KR WAS PAID ON FEBRUARY 4, 2020.

Disclosure 2 of 3

Reporting Source:	Firm
Affiliate:	ONTARIO TEACHERS' PENSION PLAN BOARD
Current Status:	Final
Allegations:	ON APRIL 30, 2014, A PANEL OF THE CHICAGO MERCANTILE EXCHANGE

	("CME") BUSINESS CONDUCT COMMITTEE ("PANEL") FOUND THAT ON MARCH 5, 2013, AND MARCH 6, 2013, OTPP CARRIED POSITIONS IN EXCESS OF THE SINGLE MONTH SPECULATIVE POSITION LIMIT IN JUNE 2013 LEAN HOG FUTURES BY APPROXIMATELY 2.1% AND 2.6%, RESPECTIVELY. OTPP LIQUIDATED ITS OVERAGE POSITION AT A PROFIT OF $17,899.82. THE PANEL CONCLUDED THAT OTTP THEREBY VIOLATED CME RULE 562.
Initiated By:	CHICAGO MERCANTILE EXCHANGE
Date Initiated:	04/01/2013
Docket/Case Number:	CME 13-9339-BC
Principal Product Type:	Futures - Commodity
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	IN ACCORDANCE WITH THE SETTLEMENT OFFER THE ONTARIO TEACHERS' PENSION PLAN BOARD ("OTPP") WAS ORDERED TO AND PAID A FINE OF $15,000 AND DISGORGEMENT OF $17,899.82.
Resolution:	Settled
Resolution Date:	05/02/2014
Sanctions Ordered:	Monetary/Fine $15,000.00 Disgorgement/Restitution
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, A TOTAL OF $32,899.82 IN DISGORGEMENT AND A FINE WAS PAID ON MAY 9, 2014.

Disclosure 3 of 3

Reporting Source:	Firm
Affiliate:	ONTARIO TEACHERS' PENSION PLAN BOARD
Current Status:	Final
Allegations:	THE SEC ALLEGED THAT IN CONNECTION WITH FOLLOW-ON OFFERINGS OF COMMON STOCK BY FOUR ISSUERS DURING JULY AND NOVEMBER 2010, AND JANUARY 2011, ONTARIO TEACHERS' PENSION PLAN BOARD ("OTPPB") SOLD SHORT THE ISSUERS' COMMON STOCK IN VIOLATION OF RULE 105 OF REGULATION M.

Initiated By:	SECURITIES AND EXCHANGE COMMISSION
Date Initiated:	01/01/2012
Docket/Case Number:	ADMINISTRATION FILE NO. 3-15491
Principal Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	
Resolution:	Consent
Resolution Date:	09/16/2013
Sanctions Ordered:	Censure Monetary/Fine $68,295.00 Disgorgement/Restitution Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, A TOTAL OF U.S. $224,835.90 USD IN DISGORGEMENT, PREJUDGMENT INTEREST AND A CIVIL MONEY PENALTY WAS PAID ON SEPTEMBER 20, 2013.

End of Report

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