

## BrokerCheck Report

**ERIC JAMES HAUBERT**

CRD# 2522029

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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.

## 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.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at [brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**ERIC J. HAUBERT**

CRD# 2522029

**Currently employed by and registered with the following Firm(s):**

**IA WELLS FARGO ADVISORS**  
 51 S STANFIELD RD  
 TROY, OH 45373  
 CRD# 11025  
 Registered with this firm since: 01/17/2006

**B WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**  
 51 S STANFIELD RD  
 TROY, OH 45373  
 CRD# 11025  
 Registered with this firm since: 03/12/2004

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications**

**This broker is registered with:**

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

**This broker has passed:**

- 1 Principal/Supervisory Exam
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

**Registration History**

**This broker was previously registered with the following securities firm(s):**

- IA UBS FINANCIAL SERVICES INC.**  
 CRD# 8174  
 WEEHAWKEN, NJ  
 08/1999 - 04/2004
- B UBS FINANCIAL SERVICES INC.**  
 CRD# 8174  
 WEEHAWKEN, NJ  
 01/1995 - 04/2004
- B KIDDER, PEABODY & CO. INCORPORATED**  
 CRD# 7613  
 NEW YORK, NY  
 08/1994 - 01/1995

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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



## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 1 SRO and is licensed in 51 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**

Main Office Address: **ONE NORTH JEFFERSON AVENUE  
H0004-05C  
ST. LOUIS, MO 63103**

Firm CRD#: **11025**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	03/12/2004
B	FINRA	General Securities Representative	Approved	03/12/2004
B	FINRA	Invest. Co and Variable Contracts	Approved	03/12/2004

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/12/2011
B	Alaska	Agent	Approved	10/02/2024
B	Arizona	Agent	Approved	03/12/2004
B	Arkansas	Agent	Approved	07/29/2020
B	California	Agent	Approved	03/12/2004
B	Colorado	Agent	Approved	08/06/2008
B	Connecticut	Agent	Approved	03/12/2004
B	Delaware	Agent	Approved	04/27/2023
B	District of Columbia	Agent	Approved	06/17/2014
B	Florida	Agent	Approved	03/12/2004

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Florida	Investment Adviser Representative	Approved	09/21/2022
B	Georgia	Agent	Approved	03/12/2004
B	Hawaii	Agent	Approved	04/01/2021
B	Idaho	Agent	Approved	06/06/2017
B	Illinois	Agent	Approved	03/12/2004
IA	Illinois	Investment Adviser Representative	Approved	10/06/2023
B	Indiana	Agent	Approved	04/05/2004
B	Iowa	Agent	Approved	03/12/2004
B	Kansas	Agent	Approved	02/08/2016
B	Kentucky	Agent	Approved	03/12/2004
B	Louisiana	Agent	Approved	12/02/2004
B	Maine	Agent	Approved	05/25/2022
B	Maryland	Agent	Approved	07/17/2008
B	Massachusetts	Agent	Approved	11/20/2006
B	Michigan	Agent	Approved	03/12/2004
B	Minnesota	Agent	Approved	03/12/2004
B	Mississippi	Agent	Approved	02/05/2019
B	Missouri	Agent	Approved	04/02/2008
B	Montana	Agent	Approved	03/04/2021
B	Nebraska	Agent	Approved	04/25/2024
B	Nevada	Agent	Approved	03/12/2004

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Hampshire	Agent	Approved	03/01/2023
B	New Jersey	Agent	Approved	09/02/2015
B	New Mexico	Agent	Approved	03/27/2020
B	New York	Agent	Approved	10/01/2014
B	North Carolina	Agent	Approved	03/12/2004
B	North Dakota	Agent	Approved	10/02/2025
B	Ohio	Agent	Approved	03/12/2004
IA	Ohio	Investment Adviser Representative	Approved	01/17/2006
B	Oklahoma	Agent	Approved	03/01/2023
B	Oregon	Agent	Approved	10/29/2013
B	Pennsylvania	Agent	Approved	10/30/2007
B	Rhode Island	Agent	Approved	11/21/2025
B	South Carolina	Agent	Approved	03/12/2004
B	South Dakota	Agent	Approved	01/02/2013
B	Tennessee	Agent	Approved	03/12/2004
B	Texas	Agent	Approved	12/01/2004
IA	Texas	Investment Adviser Representative	Restricted Approval	09/09/2016
B	Utah	Agent	Approved	10/08/2014
B	Vermont	Agent	Approved	04/08/2024
B	Virginia	Agent	Approved	03/12/2004
B	Washington	Agent	Approved	03/12/2004



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	West Virginia	Agent	Approved	01/25/2005
B	Wisconsin	Agent	Approved	01/27/2017
B	Wyoming	Agent	Approved	07/08/2025

### Branch Office Locations

**WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**  
 51 S STANFIELD RD  
 TROY, OH 45373

**WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**  
 5 S MAIN ST  
 [OFFICE OF CONVENIENCE]  
 MINSTER, OH 45865

**WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**  
 1041 S MAIN ST  
 [SATELLITE]  
 BELLEFONTAINE, OH 43311

**WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**  
 565 METRO PLACE S STE 110  
 [SATELLITE]  
 DUBLIN, OH 43017

**WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**  
 40W304 LAFOX RD  
 STE D1  
 ST CHARLES, IL 60175

**WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**  
 1407 PINE ST  
 [VACATION/SECONDARY HOME]  
 KEY WEST, FL 33040

**WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**  
 50 PEARL ROAD SUITE 216  
 [SATELLITE]

## Broker Qualifications



### Employment 1 of 1, continued

BRUNSWICK, OH 44212

**WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**

KEY WEST, FL

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## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	06/06/2003

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> National Commodity Futures Examination	Series 3	01/10/2002
<b>B</b> General Securities Representative Examination	Series 7	03/21/1995
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	08/05/1994

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	01/26/2006
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	04/24/1995

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>IA</b> 08/1999 - 04/2004	UBS FINANCIAL SERVICES INC.	8174	TROY, OH
<b>B</b> 01/1995 - 04/2004	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ
<b>B</b> 08/1994 - 01/1995	KIDDER, PEABODY & CO. INCORPORATED	7613	NEW YORK, NY

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
05/2009 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	REGISTERED REP	Y	TROY, OH, United States

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

ERIC HAUBERT LLC; NOT INV RELATED; TROY, OH; LLC ESTABLISHED FOR TAX PURPOSES ONLY; 100% ; 0 HOURS PER MONTH. 50% OWNERSHIP; INV RELATED, TROY OH, CURRENTLY NO DUTIES, START 9/2006.  
 RENTAL PROPERTY; INV RELATED; PARK CITY, UT; 100% ; START 1/1/2000; 1 HOUR PER MONTH, 0 DURING TRADING; LANDLORD. |  
 RENTAL PROPERTY; INV RELATED; KEY WEST, FL; 100%; START 5/1/2011; 1 HOUR PER MONTH, 0 DURING TRADING; LANDLORD. |  
 RENTAL PROPERTY, INV RELATED, MARION, OH, 100% START 5/25/2017, 5 HOURS PER MONTH, ZERO DURING TRADING  
 HAUBERT & HOWE LLC DBA KATTER HENRY INVESTMENT GROUP, INV RELATED, TROY, OH, 50% OWNERSHIP, START 2/9/2004, 1 HOUR PER MONTH, 1 HOUR DURING TRADING, FINET PRACTICE. |  
 HAUBERT-HOWE PROPERTIES, LTD; NOT INVESTMENT RELATED; TROY, OH; 50% OWNERSHIP; START DATE 07/31/2020; NUMBER OF HOURS PER MONTH 0; NUMBER OF HOURS DURING TRADING 0;  
 HAUBERT & HOWE LLC; INV. RELATED; TROY, OH; 50% OWNERSHIP; LLC FOR OPERATING ENTITY FOR PRACTICE; 2/1/2004; 2 HRS PER MONTH; 2 HRS DURING TRADING.; |  
 KIG LEGACY CO. LLC, INV RELATED, TROY, OH, 50% , 7/29/2022, 2 HOURS PER MONTH, 2 HOURS DURING TRADING, FINET PRACTICE. |  
 KIG HOLD CO. LLC, INV RELATED, TROY, OH, 40.05% , 7/29/2022, 2 HRS PM, 2 HOURS DURING TRADING, FINET PRACTICE. |



## Registration and Employment History

### Other Business Activities, continued

BWM HOLDCO, LLC, INVT RELATED, TROY, OH, 40.05% ,1/1/2023, 2 HRS PM AND DURING TRADING, FOR FINET PRACTICE.; |  
 CO-TRUSTEE FOR HAUBERT AND HOWE LLC 401K (MULTIPLE ASSOCIATES), INV RELATED, VANDALIA, OH, START: 01/01/2022, 1  
 HOUR A MONTH, 1 HOUR DURING TRADING, FINET PRACTICE 401K. |  
 JFF HOLDCO LLC SUBSIDIARY OF KIG HOLDCO, LLC, INVT RELATED, 40.05% ,3/20/2024, 10 HRS PER MONTH AND DURING TRADING,  
 FINET PRACTICE. |  
 VWM HOLDCO, LLC SUBSIDIARY OF KIG HOLDCO, LLC, INVT RELATED, TROY, OH, 40.05% , 5/17/2024, 1 HRS PER MONTH AND  
 DURING TRADING, FINET PRACTICE. |  
 JS HOLDCO LLC SUBSIDIARY OF KIG HOLDCO, LLC; INV RELATED; TROY, OH; 40.05% 7/9/2024; 1 HR PER MONTH; 1 HR DURING  
 TRADING. |  
 HAUBERT & HOWE LLC 401K FBO IAN LYONS, INV RELATED, VANDALIA, OH, 401K, CO-TRUSTEE, 1/1/2022, 1 HOUR PM, 1 HOUR  
 DURING TRADING |  
 HAUBERT & HOWE LLC 401K FBO MERISSA ACKLEY, INV RELATED, VANDALIA, OH,401K, CO-TRUSTEE, 1/1/2022, 1 HOUR PER  
 MONTH, 1 HOUR DURING TRADING |  
 HAUBERT & HOWE LLC 401K FBO TROY SHARPE, INV RELATED, VANDALIA, OH,401K, CO-TRUSTEE, 1/1/2022, 1 HOUR PER MONTH, 1  
 HOUR DURING TRADING |  
 HAUBERT & HOWE LLC 401K FBO CHRIS NEAL, INV RELATED, VANDALIA, OH,401K, CO-TRUSTEE, 1/1/2022, 1 HOUR PER MONTH, 1  
 HOUR DURING TRADING |  
 HAUBERT & HOWE LLC 401K FBO KRISTI CROWTHER, INV RELATED, VANDALIA, OH,401K, CO-TRUSTEE, 1/1/2022, 1 HOUR PER  
 MONTH, 1 HOUR DURING TRADING |  
 CMWM HOLDCO LLC SUBSIDIARY OF KIG HOLDCO LLC; INV REL; TROY, OH; 40.05% DATE 07/01/2025; 1 HOUR PER MONTH; 1 HOUR  
 DURING TRADING HOURS  
 HAUBERT & AND HOWE LLC 401K FBO SAMUEL TYLER WILLKOMM; INV REL; VANDALIA,OH; CO-TRUSTEE;01/03/2022; 1 HRS PER  
 MONTH; 1 HRS DURING TRADING;  
 HAUBERT& HOWE LLC 401K FBO JESSICA L MILLS-YOUNGER ; INV REL; VANDALIA,OH; CO-TRUSTEE; 01/03/2022; 1 HRS PER MONTH;  
 1 HRS DURING TRADING;|  
 Haubert &Howe LLC 401K FBO Elizabeth A Albrecht ; INV REL; VANDALIA,OH; CO-TRUSTEE; 01/03/2022; 1 HRS PM; 1 HRS DURING  
 TRADING;|  
 Haubert &Howe LLC 401K FBO Seth Michael Goodall ; INV REL; VANDALIA,OH; CO-TRUSTEE; 01/03/2022; 1 HRS PM; 1 HRS DURING  
 TRADING;|  
 Haubert and Howe LLC 401K FBO Janice Lynette Spicuzza ; INV REL; VANDALIA,OH; CO-TRUSTEE; 01/03/2022; 1 HRS PM; 1 HRS DURING  
 TRADING;|  
 Haubert and Howe LLC 401K FBO Kevin L Davie, Eric Haubert ; INV REL; VANDALIA,OH; CO-TRUSTEE; 01/03/2022; 1 HRS PM; 1 HRS;|  
 Haubert and Howe LLC 401K FBO Bridget Haley Metz; INV REL; VANDALIA,OH; CO-TRUSTEE; 01/03/2022; 1 HRS PM; 1 HRS TRADING;|  
 Haubert and Howe LLC 401K FBO Samuel Tyler Willkomm |Jessica L Mills-Younger|Elizabeth A Albrecht|Seth Michael Goodall |Janice Lynette  
 Spicuzza| Kevin L Davie|Bridget Haley Metz | Donna Jones,| Holly Lawrence | Tyler Yaw |(Multiple Associates and OBA's) ; INV REL;  
 VANDALIA,OH; CO-TRUSTEE; 01/03/2022; 1 HRS PM; 1 HRS DURING TRADING;|

## End of Report



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