

BrokerCheck Report

STEVEN HAYDEN HAFNER

CRD# 2756191

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8



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



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.

STEVEN H. HAFNER

CRD# 2756191

Currently employed by and registered with the following Firm(s):**IA KESTRA PRIVATE WEALTH SERVICES, LLC**

5004 Timber Commons Drive
Sandusky, OH 44870
CRD# 155193
Registered with this firm since: 07/09/2020

B KESTRA INVESTMENT SERVICES, LLC

5004 TIMBER COMMONS DRIVE
SANDUSKY, OH 44870
CRD# 42046
Registered with this firm since: 06/30/2020

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
- 17 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

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**

Registration History**This broker was previously registered with the following securities firm(s):****B UBS FINANCIAL SERVICES INC.**

CRD# 8174
WEEHAWKEN, NJ
03/2015 - 07/2020

IA UBS FINANCIAL SERVICES INC.

CRD# 8174
WEEHAWKEN, NJ
03/2015 - 07/2020

B LPL FINANCIAL LLC

CRD# 6413
SANDUSKY, OH
07/2011 - 02/2015

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 17 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **KESTRA INVESTMENT SERVICES, LLC**

Main Office Address: **5707 SOUTHWEST PARKWAY
BUILDING 2, SUITE 400
AUSTIN, TX 78735**

Firm CRD#: **42046**

SRO	Category	Status	Date
FINRA	General Securities Representative	Approved	06/30/2020

U.S. State/ Territory	Category	Status	Date
California	Agent	Approved	06/30/2020
Colorado	Agent	Approved	12/05/2025
Florida	Agent	Approved	06/30/2020
Illinois	Agent	Approved	10/27/2022
Indiana	Agent	Approved	08/03/2022
Kansas	Agent	Approved	03/04/2025
Kentucky	Agent	Approved	03/07/2024
Maryland	Agent	Approved	01/24/2024
Michigan	Agent	Approved	06/30/2020
Minnesota	Agent	Approved	06/30/2020
New York	Agent	Approved	03/02/2021
North Carolina	Agent	Approved	07/13/2020



Broker Qualifications

Employment 1 of 2, continued

U.S. State/ Territory	Category	Status	Date
B Ohio	Agent	Approved	07/09/2020
B Pennsylvania	Agent	Approved	06/30/2020
B South Carolina	Agent	Approved	06/30/2020
B Tennessee	Agent	Approved	06/30/2020
B Texas	Agent	Approved	06/30/2020

Branch Office Locations

KESTRA INVESTMENT SERVICES, LLC

5004 TIMBER COMMONS DRIVE
SANDUSKY, OH 44870

KESTRA INVESTMENT SERVICES, LLC

3130 Executive Parkway
Suite 2F
Toledo, OH 43606

Employment 2 of 2

Firm Name: **KESTRA PRIVATE WEALTH SERVICES, LLC**

Main Office Address: **5707 SOUTHWEST PARKWAY**
BLDG. 2 STE 400
AUSTIN, TX 78735

Firm CRD#: **155193**

U.S. State/ Territory	Category	Status	Date
IA Ohio	Investment Adviser Representative	Approved	07/09/2020

Branch Office Locations

Broker Qualifications



Employment 2 of 2, continued

5004 Timber Commons Drive
Sandusky, OH 44870

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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	05/20/1997
B Investment Company Products/Variable Contracts Representative Examination	Series 6	10/04/1996

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/20/1997
B Uniform Securities Agent State Law Examination	Series 63	06/05/1997

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/.

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 03/2015 - 07/2020	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ
IA 03/2015 - 07/2020	UBS FINANCIAL SERVICES INC.	8174	Sandusky, OH
B 07/2011 - 02/2015	LPL FINANCIAL LLC	6413	SANDUSKY, OH
IA 07/2011 - 02/2015	LPL FINANCIAL LLC	6413	SANDUSKY, OH
IA 11/2003 - 07/2011	UVEST FINANCIAL SERVICES GROUP, INC.	13787	SANDUSKY, OH
B 11/2003 - 07/2011	UVEST FINANCIAL SERVICES GROUP, INC.	13787	SANDUSKY, OH
IA 02/2003 - 11/2003	MID ATLANTIC FINANCIAL MANAGEMENT, INC.	109771	SANDUSKY, OH
B 01/2003 - 11/2003	MID ATLANTIC CAPITAL CORPORATION	10674	PITTSBURGH, PA
B 05/2000 - 01/2003	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 03/1997 - 05/2000	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 10/1996 - 04/1998	AETNA INVESTMENT SERVICES, INC.	34815	WINDSOR, CT

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
06/2020 - Present	KESTRA INVESTMENT SERVICES	REGISTERED REPRESENTATIVE	Y	TOLEDO, OH, United States
06/2020 - Present	KESTRA PRIVATE WEALTH SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	TOLEDO, OH, United States

Registration and Employment History



Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
02/2015 - 06/2020	UBS FINANCIAL SERVICES INC.	VICE PRESIDENT- WEALTH MANAGEMENT	Y	SANDUSKY, 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.

Name: FSB PROPERTIES LLC POSITION: Sole owner 100% NATURE: Real Estate INVESTMENT RELATED: Yes NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 2 START DATE: 03/01/1985 ADDRESS: c/o Steven Hafner, 4218 Windham Place S., Sandusky OH 44870 DESCRIPTION: Collect monthly rent, pay bills, upkeep of property

Name: 1)True Alpha Wealth Management dba Investment Related: Yes Address: Timber Commons Drive Sandusky OH 44870 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Insurance; Investment Advisory services through an independent outside RIA Position, Title or Relationship: managing partner Start Date: 6/30/2020 Hours per month: 100%+ (More than 160 hours) Hours per month during trading hours: 81% - 90% (113 - 126 hours) Duties: new business, servicing existing business, assist in driving True Alpha growth

Name: Catholic Charities of Erie County, Ohio Investment Related: No Address: 428 Tiffin Avenue Sandusky OH 44870 Nature of Business: Board Position (Board of Directors, Board of Trustees, etc.) Position, Title or Relationship: Board member Start Date: 2/1/2018 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: attend monthly board meetings

Name: Serving Our Seniors of Erie County, Ohio Investment Related: No Address: 310 E. Boalt Street Sandusky OH 44870 Nature of Business: Board Position (Board of Directors, Board of Trustees, etc.) Position, Title or Relationship: Member of Board of Directors Member of Finance Committee Start Date: 2/1/2015 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Monthly Board meetings and Monthly Finance Committee meetings

Name: SHH INVESTMENTS LLC POSITION: Sole Member NATURE: Single Member LLC set up to run my Kestra revenue through and pay business related expenses INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 1 START DATE: 10/20/2023 ADDRESS: 4218 Windham Place S., Sandusky OH 44870 DESCRIPTION: I move my revenue into the SHH Investments business account, and pay expenses from it.

End of Report



This page is intentionally left blank.