

BrokerCheck Report

SCOTT MICHAEL HANISH

CRD# 3202436

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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



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.

**SCOTT M. HANISH**

CRD# 3202436

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

IA PFG ADVISORS

9171 E. Bell Rd.,
Suite 109
Scottsdale, AZ 85260
CRD# 173344

Registered with this firm since: 04/18/2018

B OSAIC WEALTH, INC.

9171 E BELL RD SUITE 109
SCOTTSDALE, AZ 85260
CRD# 23131

Registered with this firm since: 06/14/2024

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
- 9 U.S. states and territories

This broker has passed:

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

Registration History

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

B SECURITIES AMERICA, INC.

CRD# 10205
SCOTTSDALE, AZ
12/2016 - 06/2024

IA CUE ADVISORY SERVICES, INC.

CRD# 21033
SCOTTSDALE, AZ
03/2005 - 05/2019

B FOOTHILL SECURITIES, INC.

CRD# 1027
Scottsdale, AZ
10/2009 - 12/2016

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Criminal	1



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

Employment 1 of 2

Firm Name: **OSAIC WEALTH, INC.**

Main Office Address: **18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255**

Firm CRD#: **23131**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	06/14/2024

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	06/14/2024
B	California	Agent	Approved	06/14/2024
B	Nevada	Agent	Approved	06/14/2024
B	New Jersey	Agent	Approved	06/14/2024
B	New York	Agent	Approved	06/14/2024
B	Rhode Island	Agent	Approved	11/26/2024
B	Virginia	Agent	Approved	06/14/2024
B	Washington	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
9171 E BELL RD SUITE 109
SCOTTSDALE, AZ 85260



Broker Qualifications

Employment 1 of 2, continued

Employment 2 of 2

Firm Name: PFG ADVISORS
Main Office Address: 3200 N. CENTRAL AVE
SUITE #200
PHOENIX, AZ 85012
Firm CRD#: 173344

	U.S. State/ Territory	Category	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	04/20/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	04/18/2018

Branch Office Locations

9171 E. Bell Rd.,
Suite 109
Scottsdale, AZ 85260



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, 2 general industry/product exams, and 3 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	04/21/1999

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	02/15/2005
B IA Uniform Combined State Law Examination	Series 66	06/06/2001
B Uniform Securities Agent State Law Examination	Series 63	04/30/1999

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 12/2016 - 06/2024	SECURITIES AMERICA, INC.	10205	SCOTTSDALE, AZ
IA 03/2005 - 05/2019	CUE ADVISORY SERVICES, INC.	21033	Scottsdale, AZ
B 10/2009 - 12/2016	FOOTHILL SECURITIES, INC.	1027	Scottsdale, AZ
B 11/2004 - 09/2009	CUE FINANCIAL GROUP, INC.	21033	PHOENIX, AZ
B 04/1999 - 03/2002	CUE	21033	PHOENIX, AZ

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
06/2024 - Present	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States
04/2018 - Present	PFG ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States
12/2014 - Present	TRUEALITY TV	INVESTOR/MEMBER	N	SCOTTSDALE, AZ, United States
02/2012 - Present	ZINGER BAT COMPANY, LLC	OWNER	N	CHANDLER, AZ, United States
12/2010 - Present	HANISH ENTERTAINMENT GROUP LLC	MANAGING MEMBER	Y	SCOTTSDALE, AZ, United States
01/2010 - Present	SCOTT HANISH LLC- DBA	OWNER	Y	Scottsdale, AZ, United States
03/2009 - Present	HANISH BUSINESS VENTURES, LLC	MANAGING PRINCIPAL, SOLE MEMBER	Y	SCOTTSDALE, AZ, United States
09/2004 - Present	Insurance Sales	Agent	Y	Scottsdale, AZ, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
12/2016 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REP	Y	Scottsdale, AZ, United States
08/2003 - 12/2018	CUE FINANCIAL GROUP, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	Scottsdale, AZ, United States
09/2009 - 12/2016	FOOTHILL SECURITIES INC	REGISTERED REPRESENTATIVE	Y	Scottsdale, AZ, 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.

1. TRUEALITY TV

POSITION: Equity Owner, consultant NATURE: Production company INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 11/17/2016
ADDRESS: 9171 E. Bell Rd., Suite 109, Scottsdale AZ 85260, United States
DESCRIPTION: I am an equity owner and consultant

2. PFG ADVISORS LLC

POSITION: IAR NATURE: RIA INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 80 START DATE: 10/01/2018
ADDRESS: 9171 E. Bell Rd., Suite 109, Scottsdale AZ 85260, United States
DESCRIPTION: PFG is my RIA

3. ZINGER BAT COMPANY

POSITION: CEO/Owner NATURE: Wood baseball bat manufacturing and sales Baseball training and coaching facility INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 0 START DATE: 02/01/2012
ADDRESS: 9171 E BELL RD, SUITE 109, SCOTTSDALE AZ 85260, United States
DESCRIPTION: I oversee general operations and institute policy for all aspects of the company.

4. SUBLEASING - SCOTT HANISH LLC

POSITION: Subleasing to my other business and coaches NATURE: Subleasing commercial space related to Zinger Bat Co. (approved OBA - baseball manufacturing & training). INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 05/01/2023
ADDRESS: 9171 E BELL RD, SUITE 109, SCOTTSDALE AZ 85260, United States
DESCRIPTION: Scott Hanish LLC is the lessee and will eventually occupy the built in office space and currently subleases to 1. Zinger Bat Company (occupies the manufacturing space, I am the sole owner and Zinger is a previously disclosed OBA) and also subleases to 2. subcontracting coaches who utilize the training facility for coaching baseball players. When the investment business moves in, there will be a secured interior entrance to the office space that only Carrie James (my registered office assistant) and I will have access to.

Registration and Employment History



Other Business Activities, continued

5. ZINGER BASEBALL PERFORMANCE CENTER

POSITION: CEO / Owner NATURE: LLC - I'm the sole member. ***Originallyl was acting as sub lessor of our commercial space but tenant turned out to not be a good fit and we started new business on 03/01/2024, operations fully began 4/10/24 when all insurance, licensing, bank accounts were set up INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 5 START DATE: 05/01/2023

ADDRESS: 9171 E BELL RD, SUITE 109, SCOTTSDALE AZ 85260, United States

DESCRIPTION: Create structure for ongoing training programs, tournament play, incoming revenue from customers. Collaboratewith coaches, parents, players, scouts, agents, to schedule needed events (eg. showcases). Find coaching talent through network. Oversee budget, overall finances.Some tournament coaching from time to time.

Disclosure Events



What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Criminal	0	1	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Firm
Court Details:	DADE COUNTY FLORIDA, CIRCUIT COURT OF THE 11TH JUDICIAL DISTRICT, DOCKET #99-29729.
Charge Date:	08/30/1999
Charge Details:	2 COUNTS OF DUI MANSLAUGHTER, FELONY, GUILTY PLEA. 2 COUNTS OF DUI SERIOUS BODILY INJURY, FELONY, GUILTY PLEA
Felony?	Yes
Current Status:	Final
Status Date:	03/15/2002
Disposition Details:	REPS IS ENTERING A GUILTY PLEA TO THE ABOVE FOUR COUNTS IN EXCHANGE FOR ONE YEAR JAIL TIME, TWO YEARS COMMUNITY CONTROL (HOUSE ARREST), AND TEN YEARS PROBATION. HE WILL BE SENTENCED 3/18/2002 AND BEGIN SERVING THE SENTENCE IMMEDIATELY IN A MINIMUM SECURITY FACILITY.
Firm Statement	AS PREVIOUSLY DISCLOSED, INDIVIDUAL WAS INVOLVED IN A FATAL TRAFFIC ACCIDENT ON AUGUST 31, 1998, IN WHICH THERE WERE TWO FATALITIES AND TWO SERIOUS BODILY INJURIES. INDIVIDUAL TESTED OVER THE LEGAL LIMIT FOR DUI, ALTHOUGH THE OTHER VEHICLE RAN THE RED LIGHT. PLEA BARGAIN REACHED.

Reporting Source: Broker



Court Details:	CIRCUIT COURT OF THE 11TH JUDICIAL CIRCUIT, DADE COUNTY FLORIDA, CASE #F99-29729
Charge Date:	08/30/1998
Charge Details:	1 COUNT DUI 2 COUNTS DUI MANSLAUGHTER 2 COUNTS DUI CAUSING SERIOUS BODILY INJURY ALL COUNTS LISTED AS "FELONY" ON THE FORMS I RECEIVED. THIS ALL EMANATES FROM A TRAFFIC ACCIDENT WHICH OCCURED A YEAR EARLIER ON 08/30/1998, AND I WAS CHARGED JUST BEFORE THE ONE YEAR STATUTE OF LIMITATIONS, BUT NO PROSECUTION HAS YET TAKEN PLACE. I HAVE PLED NOT GUILTY ON ALL CHARGES.
Felony?	Yes
Current Status:	Final
Status Date:	04/11/2003
Disposition Details:	TIME SERVED; 10 YEARS PROBATION UNDER SUPERVISION OF MARICOPA CO., AZ AUTHORITIES;\$24,000 TOTAL FINE OVER 12 YEARS TO FLORIDA CHARITIES AND MEMORIALS; \$1,750 FINE AND COURT COSTS; 50 HOURS PUBLIC SERVICE OR COMMUNITY WORK; DRIVING SCHOOL ATTENDANCE; PERMANENT REVOCATION OF DRIVERS LICENSE.
Broker Statement	THE CHARGES ON 8/30/99 RESULTED FROM A TRAFFIC ACCIDENT AND ARREST THAT OCCURRED 08/30/1998 IN MIAMI, FL. A GUILTY PLEA WAS ENTERED ON 3/18/02, MODIFIED ON APRIL 11, 2003 AND ACCEPTED BY ALL PARTIES.

End of Report



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