IAPD Report

RONALD CHRYSLER HAUF

CRD# 1262280

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.

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

RONALD CHRYSLER HAUF (CRD# 1262280)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	SECURITIES AMERICA ADVISORS, INC.	110518	WHITEFISH, MT	09/18/2020 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	WHITEFISH, MT	09/18/2020 - 06/14/2024
IA	SSN ADVISORY, INC.	126090	KALISPELL, MT	10/02/2007 - 09/18/2020

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Termination	1

User Guidance

www.adviserinfo.sec.gov

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **12** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

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

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

Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/14/2024
B	Arizona	Agent	Approved	01/13/2026
B	California	Agent	Approved	06/14/2024
B	Colorado	Agent	Approved	06/14/2024
B	Idaho	Agent	Approved	06/14/2024
B	Kentucky	Agent	Approved	01/09/2026
B	Maryland	Agent	Approved	06/14/2024
B	Montana	Agent	Approved	06/14/2024
IA	Montana	Investment Adviser Representative	Approved	06/14/2024
B	Nevada	Agent	Approved	06/14/2024
B	Oregon	Agent	Approved	06/14/2024
B	Pennsylvania	Agent	Approved	06/14/2024
B	Virginia	Agent	Approved	06/14/2024

Qualifications

	Regulator	Registration	Status	Date
B	Washington	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
WHITEFISH, MT

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 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)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/19/1984

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/17/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/21/1984

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	09/18/2020 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	WHITEFISH, MT
B	09/18/2020 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	WHITEFISH, MT
IA	10/02/2007 - 09/18/2020	SSN ADVISORY, INC.	CRD# 126090	KALISPELL, MT
B	09/27/2007 - 09/18/2020	SECURITIES SERVICE NETWORK, LLC	CRD# 13318	WHITEFISH, MT
B	07/19/2006 - 10/01/2007	GENEOS WEALTH MANAGEMENT, INC.	CRD# 120894	WHITEFISH, MT
IA	07/19/2006 - 10/01/2007	GENEOS WEALTH MANAGEMENT, INC.	CRD# 120894	WHITEFISH, MT
IA	01/07/2005 - 07/25/2006	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	SPOKANE, WA
B	03/14/2000 - 07/25/2006	SECURITIES AMERICA, INC.	CRD# 10205	SPOKANE, WA
IA	06/25/2001 - 12/31/2004	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	SPOKANE, WA
B	07/31/1993 - 10/29/1999	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	05/03/1993 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	04/07/1988 - 06/14/1993	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	10/02/1985 - 04/28/1988	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	
B	05/24/1984 - 09/12/1985	MCLAUGHLIN, PIVEN, VOGEL INC.	CRD# 7404	

Registration & Employment History

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	WHITEFISH, MT, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	WHITEFISH, MT, United States
06/2006 - Present	INVESTMENT DYNAMICS, INC.	REGISTERED REPRESENTATIVE	Y	SPOKANE, WA, United States
09/2020 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	IAR	Y	WHITEFISH, MT, United States
09/2020 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	WHITEFISH, MT, United States
09/2007 - 09/2020	SECURITIES SERVICE NETWORK, INC.	REGISTERED REPRESENTATIVE	Y	WHITEFISH, MT, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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) FREEDOM BANK Columbia Falls MT - NO ADDRESS GIVEN - PRIV CORP - SEC. BOARD OF DIRECTORS - 4/2004 - 0 HR/MO/TRD HRS - MONTHLY MEETINGS - INVESTMENT RELATED

4) Freedom Bancorporation - 530 9th st West Columbia Falls Mt. 59912 - 2004 start date - NIR - Director - Bank oversight and normal duties of Bank Director - 0 hrs/mo trading

THERE IS NO NAME
POSITION: Agent NATURE: Fixed Insurance INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 08/01/1990 ADDRESS: 2834 Rest Haven Dr., Whitefish MT 59937 DESCRIPTION: Once in a great while, i sell insurance to clients

INVESTMENT ADVISORY
POSITION: Investment Advisory NATURE: SAI Advisory INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 8 START DATE: 09/17/2020 ADDRESS: 2834 Rest Haven Dr., Whitefish MT 59937 DESCRIPTION: Investment Advisory

ROSEBUD CABIN LLC
POSITION: enjoying NATURE: Rosebud cabin. It is not rental property or farming. It is a family debt free cabin that i and my cousin own 50/50. Cabin has no address. Forest Service lease. INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 08/01/1997 ADDRESS: 0000, Alpine MT 99999 DESCRIPTION: Family cabin owned by myself and Marie Bender (cousin)

FREEDOM BANK
POSITION: Advisory NATURE: Freedom Bank INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 05/02/2005

Registration & Employment History

OTHER BUSINESS ACTIVITIES

ADDRESS: 530 9th St West, Columbia Falls MT 59912, United States
DESCRIPTION: Board member with monthly meetings. I am a Founder and board member in the bank dating back to 2005. Today, i spend 3 to 5 hours a month reviewing board material and meeting.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Termination	1

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	SMITH BARNEY
Termination Type:	Permitted to Resign
Termination Date:	10/21/1999
Allegations:	EXECUTED TRANSACTION IN CUSTOMER ACCOUNT WITHOUT PROPER AUTHORITY
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Types:	
Broker Statement	MY CLIENT OF 15+ YEARS BECAME ILL THE SUMMER OF 1999. I HAD SPOKEN WITH JOHN CHARNEWS (MY CLIENT) DURING THE SUMMER OF 1990 AND HE GAVE ME TIME AND PRICE DISCRETION TO EXECUTE CERTAIN TRADES. ON SEPTEMBER 29,1999, MY CLIENT'S BROTHER CONTACTED THE SMITH BARNEY OFFICE IN LONG ISLAND NY TO ASK ABOUT 3 TRADES EXECUTED ON 08/30/99, 09/14/99 AND 09/21/99. ALSO AT THIS TIME, THE BROTHER TOLD SMITH BARNEY THAT MY CLIENT HAD GIVEN HIM A POWER OF ATTORNEY. NEITHER MY CLIENT OR THE BROTHER INFORMED ME OF THIS POWER OF ATTORNEY. THE SMITH BARNEY OFFICE IN LONG ISLAND NY CONTACTED SCOTT RASH, MY THEN BRANCH MANAGER IN SPOKANE WA ON 09/29/99. I WAS INFORMED OF THE CONCACT AND SUBSEQUENTLY CALLED MY CLIENT'S BROTHER. I ANSWERED HIS QUESTIONS ABOUT THE TRADES. THE BROTHER INFORMED ME THAT MY CLIENT JOHN HAD ENTERED THE HOSPITAL AND WAS NOW VERY ILL. DURING THIS CONVERSATION THE BROTHER DID NOT COMPLAIN OR SAY HE WAS DISSATISFIED WITH THE TRADES IN JOHN'S ACCOUNT. THE BROTHER DID NOT SEND ME OR SMITH BARNEY ANY LETTERS COMPLAINING ABOUT THESE TRADES. MY FORMER BRANCH MANAGER, SCOTT RASH, WAS INEXPERIENCED AND USED THIS VERBAL INQUIRY AS AN EXCUSE TO ASK ME TO RESIGN UNDER PROTEST

ON 10/21/1999. THERE WAS NEVER ANY COMPLAINT, VERBAL OR WRITTEN, THERE WAS ONLY A LACK OF COMMUNICATION. I HAVE ALWAYS AND WILL CONTINUE TO CONDUCT MYSELF IN AN HONORABLE AND PROFESSIONAL MANNER IN THE SECURITIES INDUSTRY.

End of Report

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