



IAPD Report

WILLIAM JOSEPH HASTIE JR.

CRD# 1389076

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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

WILLIAM JOSEPH HASTIE JR. (CRD# 1389076)

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 **03/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	HASTIE FINANCIAL GROUP	CRD# 161418	06/12/2012
B	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	11/01/2018
IA	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	11/01/2018

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	LPL FINANCIAL LLC	6413	SALINAS, CA	12/31/1997 - 11/15/2018
B	LPL FINANCIAL LLC	6413	SALINAS, CA	12/15/1994 - 11/15/2018
IA	HAYASHI & WAYLAND WEALTH MANAGEMENT, LLC	139244	SALINAS, CA	03/21/2006 - 01/05/2013

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
Customer Dispute	1



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 2

Firm Name: **COMMONWEALTH FINANCIAL NETWORK**
Main Address: 275 WYMAN STREET
SUITE 400
WALTHAM, MA 02451-1200
Firm ID#: 8032

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	11/01/2018
B	FINRA	General Securities Representative	Approved	11/01/2018
B	Arizona	Agent	Approved	11/01/2018
B	California	Agent	Approved	11/01/2018
IA	California	Investment Adviser Representative	Approved	11/01/2018
B	Colorado	Agent	Approved	11/01/2018
B	Connecticut	Agent	Approved	11/01/2018
B	Florida	Agent	Approved	06/06/2025
B	Indiana	Agent	Approved	11/01/2018
B	Nevada	Agent	Approved	11/01/2018
B	New York	Agent	Approved	05/20/2020
B	North Carolina	Agent	Approved	06/12/2025
B	Texas	Agent	Approved	11/05/2018



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	03/25/2026
B Washington	Agent	Approved	11/01/2018
B West Virginia	Agent	Approved	04/19/2022

Branch Office Locations

COMMONWEALTH FINANCIAL NETWORK
 307 Main St
 Suite 300
 Salinas, CA 93901

COMMONWEALTH FINANCIAL NETWORK
 Salinas, CA

Employment 2 of 2

Firm Name: **HASTIE FINANCIAL GROUP**
 Main Address: 307 MAIN STREET
 SUITE 300
 SALINAS, CA 93901
 Firm ID#: 161418

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	06/12/2012

Branch Office Locations

HASTIE FINANCIAL GROUP
 307 MAIN STREET
 SUITE 300
 SALINAS, CA 93901




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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	05/03/1995

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/17/1985

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/16/1995
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/23/1994

PROFESSIONAL DESIGNATIONS

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

No information reported.



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	12/31/1997 - 11/15/2018	LPL FINANCIAL LLC	CRD# 6413	SALINAS, CA
B	12/15/1994 - 11/15/2018	LPL FINANCIAL LLC	CRD# 6413	SALINAS, CA
IA	03/21/2006 - 01/05/2013	HAYASHI & WAYLAND WEALTH MANAGEMENT, LLC	CRD# 139244	SALINAS, CA
B	10/27/1992 - 01/05/1995	SENTRA SECURITIES CORPORATION	CRD# 10249	PHOENIX, AZ
B	05/30/1991 - 10/29/1992	TRANSAMERICA FINANCIAL RESOURCES, INC.	CRD# 3600	LOS ANGELES, CA
B	11/22/1989 - 06/03/1991	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	06/16/1989 - 11/16/1989	KAVANAUGH SECURITIES, INC.	CRD# 10606	DALLAS, TX
B	12/08/1987 - 07/01/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	
B	09/18/1987 - 10/27/1987	NYLIFE SECURITIES INC.	CRD# 5167	
B	11/27/1985 - 09/16/1987	NWNL MANAGEMENT CORPORATION	CRD# 2882	
B	08/21/1985 - 12/06/1985	NEW YORK LIFE SECURITIES CORP.	CRD# 5167	

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
11/2018 - Present	Commonwealth Financial Network	Advisor	Y	Waltham, MA, United States
02/2012 - Present	HASTIE FINANCIAL GROUP	INVESTMENT ADVISOR	Y	SALINAS, CA, United States
12/1994 - 11/2018	LPL Financial, LLC (Formerly: LINSKO/PRIVATE LEDGER CORP.)	REGISTERED REPRESENTATIVE	Y	SALINAS, CA, United States



Registration & Employment History



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. Fixed insurance sales, as an Agent; As of 06/28/2018; Approximately .1% time spent during securities trading hours per month; Conducted at branch location; Investment related.
2. Registered Representative and Investment Advisor Representative of Commonwealth Financial Network, registered broker/dealer and registered investment advisor. As of 11/1/2018. Sell securities and manage investment advisory accounts. Investment related. Approximately 84% of time spent on this activity.



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
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	CUSTOMER ALLEGED UNSUITABLE RECOMMENDATIONS THAT RESULTED IN AN UNEXPECTED TAX LIABILITY. ACTIVITY PERIOD: 1/5/12 TO 9/20/13.
Product Type:	Mutual Fund
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED BUT BELIEVED TO EXCEED \$5,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	09/20/2013
Complaint Pending?	No
Status:	Settled
Status Date:	11/21/2014
Settlement Amount:	\$5,000.00



Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL LLC

Allegations: CUSTOMER ALLEGED UNSUITABLE RECOMMENDATIONS THAT RESULTED IN AN UNEXPECTED TAX LIABILITY. ACTIVITY PERIOD: 1/5/12 TO 9/20/13.

Product Type: Mutual Fund

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): UNSPECIFIED BUT BELIEVED TO EXCEED \$5,000.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 09/20/2013

Complaint Pending? No

Status: Settled

Status Date: 11/21/2014

Settlement Amount: \$5,000.00

Individual Contribution Amount: \$0.00

Broker Statement

Early 2012, a client of more than 10 years referred her elderly mother to me to review and manage her investment assets. I explained her portfolio represented a significantly higher degree of investment risk than her stated risk tolerance and investment objective. I asked for her past statements to determine the approximate income tax liability that she may incur if she decided to sell investments and implement our recommended portfolio. She did not have any other information and the family said they would consult with the attorney and get back to me. When the client contacted me, she said that the portfolio risk was a far greater concern than potential income tax liability, and that the tax would have to "be paid sooner or later." She requested that we move forward with the transfer, liquidation and reinvestment of her portfolio, acknowledging the fact that the sale of her current investments would generate an unknown amount of taxable gain. I met with the client in early 2013 for her first portfolio review. She was delighted to be receiving the increased monthly income she needed and that her portfolio seemed to stay about the same value even though she was taking monthly distributions from it. I received notification from my previous BD that a client had filed a complaint against me later in 2013. The BD settled the case without consulting with me first, saying that since the settlement was under \$15,000, it was not reportable to FINRA and would not blemish my record. I am a fee-based investment advisor and had no financial interest whether her current assets were sold or not. And the daughter that referred her mother to me remains my client today.



End of Report

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