



IAPD Report

Peter C Hafner

CRD# 2251932

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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

Peter C Hafner (CRD# 2251932)

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 **12/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/10/2025
IA	LPL FINANCIAL LLC	CRD# 6413	07/10/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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
B	NEXT FINANCIAL GROUP, INC.	46214	WILLIAMSVILLE, NY	10/17/2017 - 07/10/2025
IA	NEXT FINANCIAL GROUP, INC.	46214	WILLIAMSVILLE, NY	10/17/2017 - 07/10/2025
IA	FIRST ALLIED ADVISORY SERVICES, INC.	137888	WILLIAMSVILLE, NY	06/15/2012 - 10/17/2017

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
Criminal	1
Customer Dispute	2



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 **17** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	07/10/2025
B	FINRA	General Securities Representative	Approved	07/10/2025
B	Arizona	Agent	Approved	07/10/2025
B	California	Agent	Approved	07/10/2025
B	Florida	Agent	Approved	07/16/2025
B	Idaho	Agent	Approved	07/10/2025
B	Maryland	Agent	Approved	12/18/2025
B	Minnesota	Agent	Approved	07/10/2025
B	Nevada	Agent	Approved	11/18/2025
B	New Jersey	Agent	Approved	07/10/2025
B	New Mexico	Agent	Approved	07/10/2025
B	New York	Agent	Approved	07/10/2025
IA	New York	Investment Adviser Representative	Approved	07/10/2025



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	07/10/2025
B Oregon	Agent	Approved	09/09/2025
B Pennsylvania	Agent	Approved	08/08/2025
B South Carolina	Agent	Approved	07/10/2025
B Texas	Agent	Approved	07/10/2025
IA Texas	Investment Adviser Representative	Restricted Approval	07/10/2025
B Virginia	Agent	Approved	07/10/2025
B Washington	Agent	Approved	07/10/2025

Branch Office Locations

LPL FINANCIAL LLC
6225 SHERIDAN DRIVE SUITE 206
WILLIAMSVILLE, NY 14221




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 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	10/05/2007

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/20/1992

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/27/1992

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	10/17/2017 - 07/10/2025	NEXT FINANCIAL GROUP, INC.	CRD# 46214	WILLIAMSVILLE, NY
IA	10/17/2017 - 07/10/2025	NEXT FINANCIAL GROUP, INC.	CRD# 46214	WILLIAMSVILLE, NY
IA	06/15/2012 - 10/17/2017	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	WILLIAMSVILLE, NY
B	06/01/2007 - 10/17/2017	FIRST ALLIED SECURITIES, INC.	CRD# 32444	WILLIAMSVILLE, NY
IA	06/04/2007 - 07/02/2012	FIRST ALLIED SECURITIES, INC.	CRD# 32444	WILLIAMSVILLE, NY
B	07/19/1994 - 06/06/2007	A. G. EDWARDS & SONS, INC.	CRD# 4	WILLIAMSVILLE, NY
B	07/22/1992 - 07/20/1994	THOMAS JAMES ASSOCIATES, INC.	CRD# 15609	ROCHESTER, NY

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
07/2025 - Present	LPL FINANCIAL LLC	Registered Representative	Y	WILLIAMSVILLE, NY, United States
10/2017 - 07/2025	NEXT FINANCIAL GROUP INC.	Registered Representative	Y	Houston, TX, United States
07/2012 - 10/2017	FIRST ALLIED ADVISORY SERVICES, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	CHESTERFIELD, MO, United States
06/2007 - 10/2017	FIRST ALLIED SECURITIES, INC.	Registered Representative	Y	SAN DIEGO, CA, 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 - 07/2025 - Hafner Financial Group - DBA for LPL Business (entity for LPL business) - Inv Related - 160 Hours/Month - 160



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Hours During Trading - At reported business location(s).

2 - 07/2025 - Hafner Financial Group - Non-Variable Insurance - Inv Related - 2 Hours/Month - 2 Hours During Trading - Buffalo, NY - OBA Start Date: 01/01/2015.

3 - 07/2025 - Hafner Financial Group - Tax Prep/Accounting/CPA - Inv Related - 10 Hours/Month - 5 Hours During Trading - Buffalo, NY - OBA Start Date: 01/01/2024.



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
Criminal	1
Customer Dispute	2

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	LANCASTER TOWN COURT, LANCASTER, NEW YORK CASE NUMBER: 01020003
Charge Date:	01/31/2001
Charge Details:	1 COUNT DWI FELONY (STATUTE: VTL 1193-1C)
Felony?	Yes
Current Status:	Final
Status Date:	04/03/2001
Disposition Details:	1 COUNT DWI FELONY (STATUTE: VTL 1193-1C) - DISMISSED 04/03/2001. NO FINES, NO PENALTY.
Broker Statement	ON JANUARY 31,2001, I WENT TO A RESTAURANT FOR DINNER WITH FRIENDS. AFTER LEAVING THE RESTAURANT, WITHIN A COUPLE MILES OF MY HOUSE, I WAS PULLED OVER BY A POLICE OFFICER, AND ARRESTED FOR FELONY DWI. ON APRIL 3, 2001, - 1 COUNT DWI FELONY (STATUTE: VTL 1193-1C) = DISMISSED.



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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIRST ALLIED SECURITIES, INC.
Allegations:	Customers allege that their investments in a business development company and a real estate investment trust were unsuitable.
Product Type:	Real Estate Security Other: Business Development Company
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	The customer did not state a specific amount; however, the firm reasonably believes that it would be greater than \$5,000.00.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	23-03273
Date Notice/Process Served:	11/21/2023
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/06/2025
Monetary Compensation Amount:	\$17,500.00
Individual Contribution Amount:	\$0.00
Broker Statement	Customer is seeking compensation for an investment loss that resulted from two poor performing investments in a large, diversified portfolio. The customer's purchase of the investments was fully discussed, documented, and authorized and within accepted concentration guidelines. Representative denies the allegations and believes they are without merit.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIRST ALLIED SECURITIES, INC. and NEXT FINANCIAL GROUP, INC.
Allegations:	Claimant alleges that the representative made unsuitable recommendations that



	claimant invest in a real estate investment trust in May 2015 and exchange three variable annuities for new variable annuities in August and October 2012 and February 2017.
Product Type:	Annuity-Variable Real Estate Security
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	No damages amount is specified, but damages are believed to be in excess of \$5,000.00.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Dispute Resolution Services
Docket/Case #:	23-00413
Filing date of arbitration/CFTC reparation or civil litigation:	02/16/2023
Customer Complaint Information	
Date Complaint Received:	03/01/2023
Complaint Pending?	No
Status:	Settled
Status Date:	06/20/2024
Settlement Amount:	\$25,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	Customer's estate is seeking compensation for an investment loss that resulted from one poor performing investment in a large, diversified portfolio. The customer's purchase of the investment was fully discussed, documented, and authorized and within accepted concentration guidelines. Representative denies the allegations and believes they are without merit.



End of Report

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