



IAPD Report

LES HUNZINGER

CRD# 2274146

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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

LES HUNZINGER (CRD# 2274146)

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 **04/30/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	09/11/2013
IA	OSAIC WEALTH, INC.	CRD# 23131	09/13/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	AUSDAL FINANCIAL PARTNERS, INC.	7995	DOWNERS GROVE, IL	06/21/2013 - 08/29/2013
B	AUSDAL FINANCIAL PARTNERS, INC.	7995	DOWNERS GROVE, IL	06/11/2013 - 08/29/2013
IA	AMERIPRISE FINANCIAL SERVICES, INC.	6363	DOWNERS GROVE, IL	10/01/1998 - 05/28/2013

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
Termination	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 **10** 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 Principal	Approved	09/11/2013
B FINRA	General Securities Representative	Approved	09/11/2013
B FINRA	Invest. Co and Variable Contracts	Approved	09/11/2013
B California	Agent	Approved	09/12/2013
B Colorado	Agent	Approved	10/30/2013
B Florida	Agent	Approved	09/16/2022
B Illinois	Agent	Approved	09/11/2013
IA Illinois	Investment Adviser Representative	Approved	09/13/2013
B Indiana	Agent	Approved	10/05/2023
B Michigan	Agent	Approved	06/24/2021
B North Carolina	Agent	Approved	08/03/2020
B South Carolina	Agent	Approved	09/19/2023
B Virginia	Agent	Approved	08/03/2020



Qualifications

Regulator	Registration	Status	Date
B Wisconsin	Agent	Approved	09/12/2013

Branch Office Locations

OSAIC WEALTH, INC.
WOODRIDGE, IL

OSAIC WEALTH, INC.
7501 Lemont Rd., Suite 24
Woodridge, IL 60517



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	02/10/1999

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	08/06/1993
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/31/1992

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	09/21/1998
Uniform Securities Agent State Law Examination (S63)	Series 63	08/31/1992

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
IA	06/21/2013 - 08/29/2013	AUSDAL FINANCIAL PARTNERS, INC.	CRD# 7995	DOWNERS GROVE, IL
B	06/11/2013 - 08/29/2013	AUSDAL FINANCIAL PARTNERS, INC.	CRD# 7995	DOWNERS GROVE, IL
IA	10/01/1998 - 05/28/2013	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	DOWNERS GROVE, IL
B	08/09/1993 - 05/28/2013	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	DOWNERS GROVE, IL
B	08/09/1993 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	09/02/1992 - 12/08/1992	HOCHMAN & BAKER SECURITIES, INC.	CRD# 19949	STAMFORD, CT

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
08/2023 - Present	OSAIC WEALTH, INC	REGISTERED REP	Y	WOODRIDGE, IL, United States
09/2005 - Present	REAL ESTATE RENTAL	OWNER	Y	DOWNERS GROVE, IL, United States
01/2000 - Present	HUNZINGER & CO.	OWNER	N	DOWNERS GROVE, IL, United States
08/2017 - 08/2023	ROYAL ALLIANCE ASSOCIATES	REGISTERED REP	Y	WOODRIDGE, IL, United States
09/2013 - 07/2018	ROYAL ALLIANCE	REGISTERED REP	Y	DOWNERS GROVE, IL, United States
09/2013 - 07/2018	ROYAL ALLIANCE ASSOCIATES	ADVISOR / BROKER	Y	DOWNERS GROVE, IL, 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) LES HUNZINGER

POSITION: Broker NATURE: Insurance and Annuities sales and service INVESTMENT RELATED: Yes NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 3 START DATE: 09/11/2013



Registration & Employment History



OTHER BUSINESS ACTIVITIES

ADDRESS: 10505 Rothenburg Rd, Woodridge IL 60517, United States
DESCRIPTION: Insurance Sales to Investment clients

2) HUNZINGER FINANCIAL SERVICES

POSITION: Financial Advisor NATURE: This is the Financial Services DBA name for Royal Alliance INVESTMENT RELATED: Yes
NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 10/31/2013
ADDRESS: 10505 Rothenburg Rd, Woodridge IL 60517, United States
DESCRIPTION: Financial Advisor

3) HUNZINGER & CO., CPAS

POSITION: Owner/Accountant NATURE: S Corporation INVESTMENT RELATED: No NUMBER OF HOURS: 100 SECURITIES TRADING HOURS: 40 START DATE: 10/01/2022
ADDRESS: 10505 Rothenburg Rd, Woodridge IL 60517, United States
DESCRIPTION: Provide tax and accounting services to investment clients

4) PACHL ACRES LTD

POSITION: President NATURE: A company set up to hold raw land for future development by myself for my next home
INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 03/12/2025
ADDRESS: 10505 ROTHENBURG RD, Woodridge IL 60517, United States
DESCRIPTION: Working with a builder to build my next home on the parcel

5) ELZINGER, INC

POSITION: President NATURE: Corporation INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 07/09/2025
ADDRESS: 10505 ROTHENBURG RD, Woodridge IL 60517, United States
DESCRIPTION: Investor in a rental property



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
Termination	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: Individual

Employing firm when activities occurred which led to the complaint: AMERIPRISE FINANCIAL SERVICES

Allegations: THE CLIENT ALLEGED I PROVIDED HER WITH POOR FINANCIAL ADVICE WHICH CAUSED HER TO OWE THE IRS APPROXIMATELY \$11,000. THE CLIENT ALSO ALLEGED I RECOMMENDED THE CLIENT FILE A FRAUDULENT TAX RETURN.

Product Type: Mutual Fund

Alleged Damages: \$11,000.00

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: 08/29/2005

Complaint Pending? No

Status: Denied

Status Date: 02/02/2006

Settlement Amount:



**Individual Contribution
Amount:**

Broker Statement

THE FIRM FOUND THE CLIENT OWED THE IRS APPROXIMATELY \$11,000 DUE TO THE CLIENT'S INCORRECT TAX FILING OF WHICH I HAD NO INVOLVEMENT. THE FIRM WAS UNABLE TO SUBSTANTIATE THE CLIENT'S CLAIM THAT I RECOMMENDED THE CLIENT FILE A FRAUDULENT TAX RETURN. THE FIRM FOUND NO JUSTIFICATION FOR SETTLEMENT WITH THE CLIENT.



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: Firm
Firm Name: AMERIPRISE FINANCIAL SERVICES, INC.
Termination Type: Permitted to Resign
Termination Date: 05/14/2013
Allegations: ADVISOR WAS SUSPENDED ON MAY 10,2013 FOR COMPANY POLICY VIOLATIONS RELATED TO CLIENT SIGNATURE ISSUES. THE ADVISOR WAS PERMITTED TO RESIGN ON MAY 14,2013.
Product Type: No Product

Reporting Source: Individual
Firm Name: AMERIPRISE
Termination Type: Permitted to Resign
Termination Date: 05/10/2013
Allegations: VIOLATIONS RELATED TO CLIENT SIGNATURE ISSUES.
Product Type: No Product
Broker Statement 1) SIGNATURE FIXATION: ADMIN SENT SAME SIGNATURE PAGE MULTIPLE TIMES ON INTERNAL TRANSFERS, ALL SIGNATURE PAGES WERE IN FILES AND VERIFIED BY AUDIT. 2)ALL CLIENTS DENIED ANY SIGNATURE ISSUES, CONFIRMED SERVICE TRANSACTION COMPLETED AS AUTHORIZED.LETTERS FOR ALL CLIENTS WERE PROVIDED TO FINRA.



End of Report

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