User Guidance

www.adviserinfo.sec.gov

IAPD Report

HARRY HOOVER HORNING

CRD# 250313

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

HARRY HOOVER HORNING (CRD# 250313)

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 **07/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023
IA	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **38** 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	SAGEPOINT FINANCIAL, INC.	133763	MANASSAS, VA	10/31/2008 - 09/01/2023
IA	SAGEPOINT FINANCIAL, INC.	133763	MANASSAS, VA	10/31/2008 - 09/01/2023
IA	AMERICAN GENERAL SECURITIES INCORPORATED	13626	MANASSAS, VA	04/16/1999 - 10/31/2008

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
Regulatory Event	2
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 **38** 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	09/01/2023
B	FINRA	General Securities Representative	Approved	09/01/2023
B	Alabama	Agent	Approved	09/01/2023
B	Arizona	Agent	Approved	09/01/2023
B	California	Agent	Approved	09/01/2023
B	Colorado	Agent	Approved	09/01/2023
B	Delaware	Agent	Approved	09/01/2023
B	District of Columbia	Agent	Approved	09/01/2023
B	Florida	Agent	Approved	09/01/2023
B	Georgia	Agent	Approved	09/01/2023
B	Idaho	Agent	Approved	05/03/2024
IA	Idaho	Investment Adviser Representative	Approved	05/03/2024
B	Illinois	Agent	Approved	09/01/2023

Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	09/01/2023
B	Kansas	Agent	Approved	09/01/2023
B	Kentucky	Agent	Approved	09/01/2023
B	Louisiana	Agent	Approved	09/01/2023
B	Maine	Agent	Approved	09/01/2023
B	Maryland	Agent	Approved	09/01/2023
B	Massachusetts	Agent	Approved	09/01/2023
B	Michigan	Agent	Approved	07/03/2024
B	Minnesota	Agent	Approved	01/06/2025
B	Mississippi	Agent	Approved	09/01/2023
B	Missouri	Agent	Approved	09/01/2023
B	Montana	Agent	Approved	09/01/2023
B	Nevada	Agent	Approved	07/14/2026
B	New Jersey	Agent	Approved	09/01/2023
B	New Mexico	Agent	Approved	09/01/2023
B	New York	Agent	Approved	09/01/2023
B	North Carolina	Agent	Approved	09/01/2023
IA	North Carolina	Investment Adviser Representative	Approved	06/04/2024
B	Ohio	Agent	Approved	09/01/2023

Qualifications

	Regulator	Registration	Status	Date
B	Oklahoma	Agent	Approved	09/01/2023
B	Pennsylvania	Agent	Approved	09/01/2023
B	Rhode Island	Agent	Approved	09/01/2023
B	South Carolina	Agent	Approved	09/01/2023
B	South Dakota	Agent	Approved	09/01/2023
B	Tennessee	Agent	Approved	09/01/2023
B	Texas	Agent	Approved	09/01/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	09/01/2023
B	Virginia	Agent	Approved	09/01/2023
IA	Virginia	Investment Adviser Representative	Approved	09/01/2023
B	Washington	Agent	Approved	09/01/2023
B	West Virginia	Agent	Approved	09/01/2023
IA	West Virginia	Investment Adviser Representative	Approved	02/05/2026

Branch Office Locations

OSAIC WEALTH, INC.
8721 PLANTATION LANE
SUITE 201
MANASSAS, VA 20110

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
B	General Securities Principal Examination (S24)	Series 24	11/13/2007

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Registered Representative Examination (S1)	Series 1	08/08/1974

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/23/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/03/1980

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
B	10/31/2008 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	MANASSAS, VA
IA	10/31/2008 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	MANASSAS, VA
IA	04/16/1999 - 10/31/2008	AMERICAN GENERAL SECURITIES INCORPORATED	CRD# 13626	MANASSAS, VA
B	07/20/1998 - 10/31/2008	AMERICAN GENERAL SECURITIES INCORPORATED	CRD# 13626	MANASSAS, VA
B	07/05/1988 - 10/29/1996	MOORS & CABOT, INC.	CRD# 594	BOSTON, MA
B	04/30/1985 - 07/19/1988	NORTH AMERICAN INVESTMENT CORP.	CRD# 7568	
B	05/07/1981 - 04/30/1985	LANG AND COMPANY	CRD# 725	
B	05/28/1980 - 06/04/1981	BROKERS EXCHANGE, INC.	CRD# 7894	
B	06/11/1979 - 08/10/1980	INDEPENDENT FINANCIAL PLANNERS CORPORATION	CRD# 653	
B	11/02/1979 - 05/29/1980	VOSS & CO., INC.	CRD# 6405	
B	08/16/1974 - 06/30/1978	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	

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
09/2023 - Present	OSAIC WEALTH, INC.	REGISTERED REP	Y	MANASSAS, VA, United States
01/2009 - 09/2023	SAGEPOINT FINANCIAL, INC.	REGISTERED REP	Y	PHOENIX, AZ, 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. HARRY H HORNING FIN. SVS; YES; 8721 PLANTATION LN. #201 MANASSAS, VA. 20110; INS.; OWNER/AGNT; 1/1997;1;1 LIFE INS. SALES.
2. S&H CORP; NO; 8721 PLANTATION LN. #201 MANASSAS, VA 20110; TAX PREP; OWNER; 1991; JAN-APR 200/OTHER MONTHS 10; 10; TAX PREP.
3. STONEWALL SQ CONDO ASSOC; NO; 8711 PLANTATION LN MANASSAS, VA 20110; HOA; TREASURER; 1990;1;1; TREASURER DO NOT WRITE CHECKS.
4. HARRY H HORNING; NO; 8721 PLANTATION LN #201 MANASSAS, VA 20110; REAL ESTATE RENTAL; SOLE PROP/OWNER; 1982; 0;0; NO DUTIES.
5. HARRY H HORNING AND ANN T FLIGHT; NO; 8721 PLANTATION LN #201 MANASSAS, VA 20110; REAL ESTATE MGMT; PTNR; 1983;0;0;NO DUTIES.
6. HARRY H HORNING FIN SVS; YES; 8721 PLANTATION LN #201 MANASSAS, VA 20110; INV. ADV. SVS; RIA; 1989;10;10; ADV CLIENTS TO ASSET ALLOC. AND RISK TOLER. REFER TO MONEY MNGR.

7. HARRY H HORNING
POSITION: Treasurer NATURE: Treasurer for Kena Shrine Band INVESTMENT RELATED: Yes NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 11/12/2019
ADDRESS: 8721 Plantation Ln, Suite 201, Manassas VA 20110, United States
DESCRIPTION: Maintain bank account and disburse expenses for Shrine Band a 501 C3 organization

8. SILEK AND HORNING
POSITION: Owner NATURE: Rental Properties/Joint Venture INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 07/15/2023
ADDRESS: 620 and 624 Virginia Avenue, Front Royal VA 22630, United States
DESCRIPTION: Owner of 2 rental properties.

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
Regulatory Event	2
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Firm
Regulatory Action Initiated By:	COMMONWEATH OF VIRGINIA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/22/1996
Docket/Case Number:	SEC970018
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	VIOLATION OF TERMS OF TEMPORARY BAR
Current Status:	Final
Resolution:	Decision
Resolution Date:	12/19/1997
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	SETTLEMENT DISCUSSIONS ARE BEING HELD
Firm Statement	THE FIRM REQUESTED MR. HORNING'S RESIGNATION AS

PART OF PRELIMINARY SETTLEMENT NEGOTIATION.

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF VIRGINIA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/22/1996
Docket/Case Number:	SEC970018
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	REAL ESTATE
Allegations:	RULE TO SHOW CAUSE ALLEGING VIOLATION OF 1992 ORDER
Current Status:	Final
Resolution:	Decision
Resolution Date:	12/19/1997
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	NO FINE, RESTRICTION OF REGISTRATION UNTIL 5/1/98
Broker Statement	AS EXPLAINED IN A MARCH 9, 2000, LETTER FROM THE VIRGINIA STATE CORPORATION COMMISSION, "SUBSEQUENT TO THE ISSUANCE OF THE ORDER (OF 1992), THE SECURITIES DIVISION OF THE COMMISSION, ON APRIL 16, 1999, AGREED TO REGISTER MR. HORNING AS AN INVESTMENT ADVISOR REPRESENTATIVE IN VIRGINIA. THE ACT OF REGISTERING MR. HORNING AS AN INVESTMENT ADVISOR REPRESENTATIVE CONTRARY TO THE PROVISIONS OF THE 1992 ORDER IN EFFECT, RENDERS THOSE PROVISIONS NULL AND VOID."

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	VIRGINIA - STATE CORPORATION COMMISSION DIVISION OF SECURITIES
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	04/14/1992
Docket/Case Number:	SEC900099

Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	THAT IN VIOLATION OF SECTIONS 13.1-502 AND 13.1-503 OF THE VIRGINIA SECURITIES ACT THE DEFENDANT EMPLOYED ARTIFICES TO DEFRAUD CLIENTS BY OMITTING TO STATE MATERIAL FACTS.
Current Status:	Final
Resolution:	Consent
Resolution Date:	04/14/1992
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	DEFENDANT AGREED TO TERMINATE HIS BROKER-DEALER AGENT REGISTRATION AND NOT TO REAPPLY FOR A PERIOD OF FIVE YEARS. THE DEFENDANT ALSO AGREED TO NEVER APPLY AS AN INVESTMENT ADVISOR OR INVESTMENT ADVISOR REPRESENTATIVE.
Regulator Statement	CONTACT CHIP JONES, BROKER-DEALER EXAMINER, 804-786-9016.

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF VA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	04/14/1992
Docket/Case Number:	SEC900099
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	REAL ESTATE
Allegations:	A FORMER BUSINESS PARTNER DEFRAUDED MYSELF AND CLIENTS IN AN INVESTMENT IN REAL ESTATE IN THE BAHAMAS. CRIMINAL ACTIONS ARE STILL PENDING AGAINST MY FORMER PARTNER. FEE SIMPLE TITLE WAS TO BE TAKEN INSTEAD A CORPORATION WAS PURCHASED AND STOCK WAS TRANSFERRED.
Current Status:	Final
Resolution:	Consent
Resolution Date:	04/14/1992
Sanctions Ordered:	

Other Sanctions Ordered:	
Sanction Details:	I SURRENDERED MY VIRGINIA LICENSE FOR A PERIOD OF FIVE YEARS. THERE WERE NO FINES AND THERE WERE NO OTHER PENALTIES.
Broker Statement	AS EXPLAINED IN A MARCH 9, 2000, LETTER FROM THE VIRGINIA STATE CORPORATION COMMISSION, "SUBSEQUENT TO THE ISSUANCE OF THE ORDER (OF 1992), THE SECURITIES DIVISION OF THE COMMISSION, ON APRIL 16, 1999, AGREED TO REGISTER MR. HORNING AS AN INVESTMENT ADVISOR REPRESENTATIVE IN VIRGINIA. THE ACT OF REGISTERING MR. HORNING AS AN INVESTMENT ADVISOR REPRESENTATIVE CONTRARY TO THE PROVISIONS OF THE 1992 ORDER IN EFFECT, RENDERS THOSE PROVISIONS NULL AND VOID."

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:	MOORS & CABOT INC
Termination Type:	Permitted to Resign
Termination Date:	10/07/1996
Allegations:	N/A VIOLATION OF ORDER SUSPENDING LICENSE IN VA NO CLIENT LOSSES OR COMPLAINT
Product Type:	
Other Product Types:	
Broker Statement	I DENIED SETTLEMENT OFFERS WITH VA AND WENT TOA HEARING. RESULTS OF HEARING FO UND NO PROOF THAT I VIOLATED ANY PRIOR RULING OR SECURITIES LAW. AFTER HEARIN G I SETTLED WITH VA TERMS AS FOLLOW $300.00 TOWARD INVESTIGATION, NO FINE, LIE NSE RESTRICTED UNTIL 5/1/98. Not Provided

End of Report

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