IAPD Report

CHRISTOPHER CHARLES HASS

CRD# 2657637

Section Title	Page(s)

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

CHRISTOPHER CHARLES HASS (CRD# 2657637)

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 **11/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	09/06/2024
IA	LPL FINANCIAL LLC	CRD# 6413	09/06/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	SPC	110692	LOUISVILLE, KY	08/20/2004 - 09/06/2024
B	PARKLAND SECURITIES, LLC	115368	LOUISVILLE, KY	05/07/2004 - 09/06/2024
B	EDWARD JONES	250	ST. LOUIS, MO	07/19/1999 - 05/10/2004

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 **19** 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 Representative	Approved	09/06/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	09/06/2024
B	Alabama	Agent	Approved	09/16/2024
B	Arizona	Agent	Approved	09/19/2024
B	Connecticut	Agent	Approved	09/06/2024
B	Florida	Agent	Approved	09/06/2024
B	Georgia	Agent	Approved	09/09/2024
B	Illinois	Agent	Approved	09/16/2024
B	Indiana	Agent	Approved	09/17/2024
B	Kansas	Agent	Approved	11/05/2024
B	Kentucky	Agent	Approved	09/06/2024
IA	Kentucky	Investment Adviser Representative	Approved	09/06/2024
B	Maryland	Agent	Approved	11/10/2025

Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	09/09/2024
B	Mississippi	Agent	Approved	09/06/2024
B	New York	Agent	Approved	11/05/2024
B	North Carolina	Agent	Approved	09/19/2024
B	Ohio	Agent	Approved	09/06/2024
B	South Carolina	Agent	Approved	09/06/2024
B	Tennessee	Agent	Approved	09/06/2024
B	Texas	Agent	Approved	09/06/2024
IA	Texas	Investment Adviser Representative	Approved	09/06/2024
B	Virginia	Agent	Approved	09/06/2024

Branch Office Locations

LPL FINANCIAL LLC
2950 BRECKENRIDGE LN., SUITE 6
LOUISVILLE, KY 40220

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, 3 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	08/10/1999
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/22/1995

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	07/09/2004
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/27/1998

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	08/20/2004 - 09/06/2024	SPC	CRD# 110692	LOUISVILLE, KY
B	05/07/2004 - 09/06/2024	PARKLAND SECURITIES, LLC	CRD# 115368	LOUISVILLE, KY
B	07/19/1999 - 05/10/2004	EDWARD JONES	CRD# 250	ST. LOUIS, MO
B	01/20/1998 - 06/09/1999	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	MILWAUKEE, WI
B	03/12/1996 - 06/09/1999	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	MILWAUKEE, WI

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
09/2024 - Present	LPL FINANCIAL	Registered Representative	Y	Louisville, KY, United States
08/2014 - 09/2024	PARKLAND SECURITIES	REGISTERED REPRESENTATIVE	Y	ANN ARBOR, MI, United States
08/2004 - 09/2024	SPC	REGISTERED INVESTMENT ADVISOR	Y	LOUISVILLE, KY, 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) 09/2024 - Hass Real Estate LLC / Owner of Real Estate / Real Estate Rental / Inv. Related / Start date 05/20/2009 - 160 Hrs per month -2 % Time Spent
2) 09/2024 - Corvus Capital, LLC / DBA for LPL Business (entity for LPL business) - Investment related - At reported business location(s)
3) 09/2024 - Hass Financial LLC / Non-Variable Insurance / Inv. Related / Start date 05/01/2024 - 160 Hrs per month -15 % Time Spent
4) 09/2024 - Hass Properties, LLC / Owner of Real Estate / Real Estate Rental / Inv. Related / Start date 08/15/2009 - 160 Hrs per month -2 % Time Spent
5) 09/2024 - Tree Farm Road LLC / Owner of Real Estate / Real Estate Rental / Inv. Related / Start date 12/10/2015 - 160 Hrs per month -1 % Time Spent
6) 09/2024 - Louisville Money Makers / Investment club / Non Inv. Related / Start date 01/10/2004 - 160 Hrs per month

Registration & Employment History

OTHER BUSINESS ACTIVITIES

7) 09/12/2024 - Hass Financial llc - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - Start Date 05/04/2004 - 20 Hours Per Month/ 1 Hour During Trading

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:	UNIVERSITY OF LOUISVILLE PUBLIC POLICE SYSTEM, JEFFERSON DIST COURT, KY 3881865
Charge Date:	03/13/1991
Charge Details:	POSSESSION OF A FORGED INSTR IEI FAKE ID
Felony?	
Current Status:	Final
Status Date:	08/02/1991
Disposition Details:	ALL CHARGES WERE DISMISSED.
Broker Statement	A FRIEND WAS ATTEMPTING TO MAKE 30-40 PEOPLE TAKE ID'S. I WAS APPROACHED ABOUT THE IDEA & AT THE TIME I SAID I WOULD BE INTERESTED. I THEN WAS INSTRUCTED TO SIGN A PHOTO W/MY PICTURE ON IT & HE WOULD HANDLE THE REST. MY FRIEND WAS ARRESTED WHILE MAKING THESE ID'S AND THE ID HE HAD MADE WAS TAKEN IN AS EVIDENCE. SINCE I HAD SIGNED MY NAME ON THE INSTRUMENT I WAS CHARGED W/THE CRIME. EVEN THOUGH I NEVER USED IT OR HAD POSSESSION.

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:	SAMMONS SECURITIES COMPANY, LLC
Allegations:	2006 - 2008, CLIENT PURCHASED ALTERNATIVE INVESTMENTS AND A VARIABLE ANNUITY. CLIENT IS DISSATISFIED WITH PERFORMANCE AND ALLEGES THAT THEY WERE MISREPRESENTED AT THE TIME OF SALE.
Product Type:	Equipment Leasing Oil & Gas Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	THE FIRM IS UNABLE TO DETERMINE THAT THE DAMAGES WOULD BE LESS THAN $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:	02/26/2013
Complaint Pending?	No
Status:	Denied
Status Date:	04/24/2013
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE CLIENT'S FRUSTRATION IS DUE TO THE FINANCIAL MELTDOWN OF 2008, IN CONJUNCTION WITH THE DROP IN NATURAL RESOURCE PRICES, BOTH OF WHICH WERE BEYOND MY CONTROL. THE CLIENT SIGNED DISCLOSURES THAT THE PRINCIPAL COULD FLUCTUATE. IN ADDITION, I ATTEMPTED TO MEET WITH THE CLIENT TO DISCUSS HIS ACCOUNTS ON NUMEROUS OCCASIONS AND WAS UNABLE TO CONNECT.

Disclosure 2 of 2

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	SAMMONS SECURITIES COMPANY, LLC
Allegations:	2007 - 2008 CLIENT PURCHASED OIL AND GAS DRILLING PROGRAMS AND IS DISSATISFIED WITH THE PERFORMANCE.
Product Type:	Oil & Gas
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	FIRM IS UNABLE TO DETERMINE THAT THE AMOUNT OF DAMAGES WOULD BE LESS THAN $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:	03/06/2013
Complaint Pending?	No
Status:	Withdrawn
Status Date:	03/20/2013
Settlement Amount:	
Individual Contribution Amount:	

End of Report

This page is intentionally left blank.