



## IAPD Report

# SCOTT MICHAEL HANISH

CRD# 3202436

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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

### SCOTT MICHAEL HANISH (CRD# 3202436)

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 **05/21/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
<b>IA</b>	OSAIC WEALTH, INC.	CRD# 23131	11/07/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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>IA</b>	PFG ADVISORS	173344	Scottsdale, AZ	04/18/2018 - 11/10/2025
<b>B</b>	SECURITIES AMERICA, INC.	10205	SCOTTSDALE, AZ	12/08/2016 - 06/14/2024
<b>IA</b>	CUE ADVISORY SERVICES, INC.	21033	Scottsdale, AZ	03/03/2005 - 05/17/2019

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



## 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 9 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 Representative	Approved	06/14/2024
B	Arizona	Agent	Approved	06/14/2024
IA	Arizona	Investment Adviser Representative	Approved	11/07/2025
B	California	Agent	Approved	06/14/2024
B	Nevada	Agent	Approved	06/14/2024
B	New Jersey	Agent	Approved	06/14/2024
B	New York	Agent	Approved	06/14/2024
B	Rhode Island	Agent	Approved	11/26/2024
B	Texas	Agent	Approved	11/08/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	11/08/2025
B	Virginia	Agent	Approved	06/14/2024
B	Washington	Agent	Approved	06/14/2024



## Qualifications

### Branch Office Locations

**OSAIC WEALTH, INC.**  
9171 E BELL RD SUITE 109  
SCOTTSDALE, AZ 85260



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

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	04/21/1999
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	02/15/2005
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Uniform Combined State Law Examination (S66)	Series 66	06/06/2001
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Uniform Securities Agent State Law Examination (S63)	Series 63	04/30/1999
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### 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	04/18/2018 - 11/10/2025	PFG ADVISORS	CRD# 173344	Scottsdale, AZ
B	12/08/2016 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	SCOTTSDALE, AZ
IA	03/03/2005 - 05/17/2019	CUE ADVISORY SERVICES, INC.	CRD# 21033	Scottsdale, AZ
B	10/28/2009 - 12/08/2016	FOOTHILL SECURITIES, INC.	CRD# 1027	Scottsdale, AZ
B	11/08/2004 - 09/21/2009	CUE FINANCIAL GROUP, INC.	CRD# 21033	PHOENIX, AZ
B	04/22/1999 - 03/15/2002	CUE	CRD# 21033	PHOENIX, AZ

#### 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
06/2024 - Present	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States
04/2018 - Present	PFG ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States
12/2014 - Present	TRUEALITY TV	INVESTOR/MEMBER	N	SCOTTSDALE, AZ, United States
02/2012 - Present	ZINGER BAT COMPANY, LLC	OWNER	N	CHANDLER, AZ, United States
12/2010 - Present	HANISH ENTERTAINMENT GROUP LLC	MANAGING MEMBER	Y	SCOTTSDALE, AZ, United States
01/2010 - Present	SCOTT HANISH LLC- DBA	OWNER	Y	Scottsdale, AZ, United States
03/2009 - Present	HANISH BUSINESS VENTURES, LLC	MANAGING PRINCIPAL, SOLE MEMBER	Y	SCOTTSDALE, AZ, United States
09/2004 - Present	Insurance Sales	Agent	Y	Scottsdale, AZ, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2016 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REP	Y	Scottsdale, AZ, United States
08/2003 - 12/2018	CUE FINANCIAL GROUP, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	Scottsdale, AZ, United States
09/2009 - 12/2016	FOOTHILL SECURITIES INC	REGISTERED REPRESENTATIVE	Y	Scottsdale, AZ, 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. TRUEALITY TV

POSITION: Equity Owner, consultant NATURE: Production company INVESTMENT RELATED: Yes NUMBER OF HOURS: 0  
 SECURITIES TRADING HOURS: 0 START DATE: 11/17/2016  
 ADDRESS: 9171 E. Bell Rd., Suite 109, Scottsdale AZ 85260, United States  
 DESCRIPTION: I am an equity owner and consultant

#### 2. ZINGER BAT COMPANY

POSITION: CEO/Owner NATURE: Wood baseball bat manufacturing and sales Baseball training and coaching facility  
 INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 0 START DATE: 02/01/2012  
 ADDRESS: 9171 E BELL RD, SUITE 109, SCOTTSDALE AZ 85260, United States  
 DESCRIPTION: I oversee general operations and institute policy for all aspects of the company.

#### 3. SUBLEASING - SCOTT HANISH LLC

POSITION: Subleasing to my other business and coaches NATURE: Subleasing commercial space related to Zinger Bat Co. (approved OBA - baseball manufacturing & training). INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 05/01/2023  
 ADDRESS: 9171 E BELL RD, SUITE 109, SCOTTSDALE AZ 85260, United States  
 DESCRIPTION: Scott Hanish LLC is the lessee and will eventually occupy the built in office space and currently subleases to 1. Zinger Bat Company (occupies the manufacturing space, I am the sole owner and Zinger is a previously disclosed OBA) and also subleases to 2. subcontracting coaches who utilize the training facility for coaching baseball players. When the investment business moves in, there will be a secured interior entrance to the office space that only Carrie James (my registered office assistant) and I will have access to.

#### 4. ZINGER BASEBALL PERFORMANCE CENTER

POSITION: CEO / Owner NATURE: LLC - I'm the sole member. \*\*\*Originallyl was acting as sub lessor of our commercial space but tenant turned out to not be a good fit and we started new business on 03/01/2024, operations fully began 4/10/24 when all insurance, licensing, bank accounts were set up INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 5 START DATE: 05/01/2023  
 ADDRESS: 9171 E BELL RD, SUITE 109, SCOTTSDALE AZ 85260, United States  
 DESCRIPTION: Create structure for ongoing training programs, tournament play, incoming revenue from customers. Collaboratewith coaches, parents, players, scouts, agents, to schedule needed events (eg. showcases). Find coaching talent through network. Oversee budget, overall finances.Some tournament coaching from time to time.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

#### 5. TRUEALITY TV

POSITION: Equity Owner, consultant NATURE: Production company INVESTMENT RELATED: Yes NUMBER OF HOURS: 0  
SECURITIES TRADING HOURS: 0 START DATE: 11/17/2016  
ADDRESS: 8221 E Evans Road, Suite C, Scottsdale AZ 85260  
DESCRIPTION: I am an equity owner and consultant

#### 6. SUBLEASING - SCOTT HANISH LLC

POSITION: Owner - Subleasing to my other business NATURE: Scott Hanish LLC is the lessee and will occupy the built in office space and currently subleases to 1. Zinger Bat Company (occupies the manufacturing space, I am the sole owner and Zinger is a previously disclosed OBA) and also subleases to 2. Zinger Baseball Performance Center (occupies the manufacturing space, I am the sole owner and Zinger is a previously disclosed OBA) There is a secured interior entrance to the office space that only I will have access to)  
This had been previously disclosed and is listed on my U4 but was not showing on my OBA manager on Reg Ed. Not sure what happened in the transition to Osaic but I am entering this again now. INVESTMENT RELATED: Yes NUMBER OF HOURS: 0  
SECURITIES TRADING HOURS: 0 START DATE: 05/01/2023  
ADDRESS: 9171 E. Bell Rd. Ste 109, Scottsdale AZ 85260  
DESCRIPTION: Scott Hanish LLC is the lessee and my other two business that occupy the space will participate in the overall rent payments by making payments to my Investment Company's operating account from the other business accounts. This is more a function of sharing costs across the businesses other business that I own 100% of (and disclosed on my OBAs), rather than an outside revenue source.



## 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
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Criminal	1
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### 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

<b>Reporting Source:</b>	Firm
<b>Court Details:</b>	DADE COUNTY FLORIDA, CIRCUIT COURT OF THE 11TH JUDICIAL DISTRICT, DOCKET #99-29729.
<b>Charge Date:</b>	08/30/1999
<b>Charge Details:</b>	2 COUNTS OF DUI MANSLAUGHTER, FELONY, GUILTY PLEA. 2 COUNTS OF DUI SERIOUS BODILY INJURY, FELONY, GUILTY PLEA
<b>Felony?</b>	Yes
<b>Current Status:</b>	Final
<b>Status Date:</b>	03/15/2002
<b>Disposition Details:</b>	REPS IS ENTERING A GUILTY PLEA TO THE ABOVE FOUR COUNTS IN EXCHANGE FOR ONE YEAR JAIL TIME, TWO YEARS COMMUNITY CONTROL (HOUSE ARREST), AND TEN YEARS PROBATION. HE WILL BE SENTENCED 3/18/2002 AND BEGIN SERVING THE SENTENCE IMMEDIATELY IN A MINIMUM SECURITY FACILITY.
<b>Firm Statement</b>	AS PREVIOUSLY DISCLOSED, INDIVIDUAL WAS INVOLVED IN A FATAL TRAFFIC ACCIDENT ON AUGUST 31, 1998, IN WHICH THERE WERE TWO FATALITIES AND TWO SERIOUS BODILY INJURIES. INDIVIDUAL TESTED OVER THE LEGAL LIMIT FOR DUI, ALTHOUGH THE OTHER VEHICLE RAN THE RED LIGHT. PLEA BARGAIN REACHED.

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<b>Reporting Source:</b>	Individual
<b>Court Details:</b>	CIRCUIT COURT OF THE 11TH JUDICIAL CIRCUIT, DADE COUNTY FLORIDA, CASE #F99-29729
<b>Charge Date:</b>	08/30/1998
<b>Charge Details:</b>	1 COUNT DUI 2 COUNTS DUI MANSLAUGHTER



2 COUNTS DUI CAUSING SERIOUS BODILY INJURY  
ALL COUNTS LISTED AS "FELONY" ON THE FORMS I RECEIVED. THIS ALL  
EMANATES FROM A TRAFFIC ACCIDENT WHICH OCCURED A YEAR EARLIER  
ON 08/30/1998, AND I WAS CHARGED JUST BEFORE THE ONE YEAR  
STATUTE OF LIMITATIONS, BUT NO PROSECUTION HAS YET TAKEN PLACE.  
I HAVE PLED NOT GUILTY ON ALL CHARGES.

**Felony?** Yes

**Current Status:** Final

**Status Date:** 04/11/2003

**Disposition Details:** TIME SERVED; 10 YEARS PROBATION UNDER SUPERVISION OF MARICOPA  
CO., AZ AUTHORITIES;\$24,000 TOTAL FINE OVER 12 YEARS TO FLORIDA  
CHARITIES AND MEMORIALS; \$1,750 FINE AND COURT COSTS; 50 HOURS  
PUBLIC SERVICE OR COMMUNITY WORK; DRIVING SCHOOL ATTENDANCE;  
PERMANENT REVOCATION OF DRIVERS LICENSE.

**Broker Statement** THE CHARGES ON 8/30/99 RESULTED FROM A TRAFFIC ACCIDENT AND  
ARREST THAT OCCURRED 08/30/1998 IN MIAMI, FL. A GUILTY PLEA WAS  
ENTERED ON 3/18/02, MODIFIED ON APRIL 11, 2003 AND ACCEPTED BY ALL  
PARTIES.



## End of Report

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