



IAPD Report

Caleb Jeffrey Hanie

CRD# 7196918

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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

Caleb Jeffrey Hanie (CRD# 7196918)

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 **03/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	SANFORD C. BERNSTEIN & CO., LLC	CRD# 104474	09/05/2024
IA	ALLIANCEBERNSTEIN L.P.	CRD# 108477	09/05/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	RBC CAPITAL MARKETS, LLC	31194	Rockwall, TX	03/14/2020 - 08/21/2024
B	RBC CAPITAL MARKETS, LLC	31194	NEW YORK, NY	01/31/2020 - 08/21/2024

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?

No



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

Employment 1 of 2

Firm Name: **SANFORD C. BERNSTEIN & CO., LLC**
Main Address: 501 COMMERCE STREET
NASHVILLE, TN 37203
Firm ID#: 104474

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	09/05/2024
B Alabama	Agent	Approved	09/19/2024
B Arizona	Agent	Approved	09/19/2024
B California	Agent	Approved	09/19/2024
B Colorado	Agent	Approved	09/19/2024
B Florida	Agent	Approved	09/19/2024
B Georgia	Agent	Approved	09/19/2024
B Illinois	Agent	Approved	09/19/2024
B Massachusetts	Agent	Approved	03/27/2025
B Mississippi	Agent	Approved	09/19/2024
B New York	Agent	Approved	03/17/2026
B Ohio	Agent	Approved	09/19/2024
B Oklahoma	Agent	Approved	09/19/2024



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	09/19/2024
B Pennsylvania	Agent	Approved	09/19/2024
B South Carolina	Agent	Approved	09/19/2024
B Tennessee	Agent	Approved	09/19/2024
B Texas	Agent	Approved	09/05/2024
B Virginia	Agent	Approved	09/19/2024

Branch Office Locations

SANFORD C. BERNSTEIN & CO., LLC
 2000 MCKINNEY AVENUE, SUITE 2100
 DALLAS, TX 75201

SANFORD C. BERNSTEIN & CO., LLC
 Rockwall, TX

Employment 2 of 2

Firm Name: **ALLIANCEBERNSTEIN L.P.**
 Main Address: 501 COMMERCE STREET
 NASHVILLE, TN 37203
 Firm ID#: 108477

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	09/05/2024

Branch Office Locations

ALLIANCEBERNSTEIN L.P.
 2000 MCKINNEY AVENUE
 SUITE 2100
 DALLAS, TX 75201



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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General Securities Representative Examination (S7TO)	Series 7TO	01/31/2020
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Securities Industry Essentials Examination (SIE)	SIE	12/05/2019
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	03/14/2020
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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	03/14/2020 - 08/21/2024	RBC CAPITAL MARKETS, LLC	CRD# 31194	Rockwall, TX
B	01/31/2020 - 08/21/2024	RBC CAPITAL MARKETS, LLC	CRD# 31194	NEW YORK, 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
08/2024 - Present	Alliance Bernstein	VP/Wealth Advisor	Y	Dallas, TX, United States
11/2019 - 08/2024	RBC Capital Markets, LLC.	Registered Representative	Y	Palos Heights, IL, United States
03/2019 - 10/2019	Unemployed	N/A	N	Rockwall, TX, United States
10/2014 - 02/2019	Rocksolid, LLC	Chief Operating Officer	N	Frisco, TX, 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) I am on the advisory board for a company called PracticeHero. I have no time commitments to this, and I simply own some shares in the company. This company is a software-based sports field rental platform. It is a startup in its infancy.

2) Name: Unmatched Media Group, LLC (Practice Hero DBA)

Address: 782 Sagewood Dr. Frisco, TX 75036

Business Description: Practice Hero is an online field rental platform for youth sports leagues and teams.

Business is not investment related

Projected Start Date: 04/25/19

Capacity: Independent Contractor/Consultant

Duties Performed: Provide general advice (non-financial/investment related), introductions to my network

Devoted to this OBA per Month: 1

Hours Devoted to this OBA during business hours: 0

3) NAME OF ENTITY: Quint Events

ADDRESS: 9300 Harris Corners Parkway, Suite 120, Charlotte, NC 28269

INVESTMENT/NOT INVESTMENT RELATED: No

BUSINESS DESCRIPTION: Event Operator for Sports Organizations

CAPACITY: Independent Contractor/Consultant



Registration & Employment History



OTHER BUSINESS ACTIVITIES

START DATE: 10/31/2021

DUTIES: I will be making multiple celebrity appearances as a former Chicago Bears player and current Alumni.

HOURS DEVOTED PER MONTH: 0

HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

4) NAME OF ENTITY: Oklahoma Vacation Rental

ADDRESS: 365 Split Shot Cir, Broken Bow OK 74728

INVESTMENT/NOT INVESTMENT RELATED: No

BUSINESS DESCRIPTION: Short term rental property

CAPACITY: Owner - Active

START DATE: 9/24/2021

DUTIES: I own the rental property with my wife. We will actively manage the listing and operations of the property.

HOURS DEVOTED PER MONTH: 0

HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

(5) NAME OF ENTITY: Chicago Bears Football Club

ADDRESS: 1920 Football Drive, Lake Forest IL 60045

INVESTMENT/NOT INVESTMENT RELATED: No

BUSINESS DESCRIPTION: Pro football club

CAPACITY: Independent Contractor/Consultant

START DATE: 10/1/2020

DUTIES: Showing up to periodic appearances as a former Bears Alumni

HOURS DEVOTED PER MONTH: 0

HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0



End of Report

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