

BrokerCheck Report

DANNY HAROLD HILL

CRD# 1012712

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 6
Registration and Employment History	8 - 9
Disclosure Events	10



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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**DANNY H. HILL**

CRD# 1012712

Currently employed by and registered with the following Firm(s):

IA D.H. HILL ADVISORS, INC.
 1543 Green Oak Place
 Ste. 100
 Kingwood, TX 77339
 CRD# 116324
 Registered with this firm since: 10/24/1996

B D.H. HILL SECURITIES, LLLP
 1543 Green Oak Place, Suite 100
 Kingwood, TX 77339
 CRD# 41528
 Registered with this firm since: 10/24/1996

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 32 U.S. states and territories

This broker has passed:

- 4 Principal/Supervisory Exams
- 5 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History**This broker was previously registered with the following securities firm(s):**

- B INTERSECURITIES, INC.**
 CRD# 16164
 PHILADELPHIA, PA
 04/1993 - 08/1995
- B CADARET, GRANT & CO., INC.**
 CRD# 10641
 SYRACUSE, NY
 03/1992 - 12/1992
- B CADARET, GRANT & CO., INC.**
 CRD# 10641
 SYRACUSE, NY
 11/1983 - 12/1990

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 32 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **D.H. HILL ADVISORS, INC.**

Main Office Address: **1543 GREEN OAK PLACE
SUITE 100
KINGWOOD, TX 77339**

Firm CRD#: **116324**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	08/12/2009
IA	Florida	Investment Adviser Representative	Approved	08/14/2006
IA	Illinois	Investment Adviser Representative	Approved	06/22/2009
IA	Kansas	Investment Adviser Representative	Approved	10/15/2014
IA	Massachusetts	Investment Adviser Representative	Approved	11/07/2008
IA	Nebraska	Investment Adviser Representative	Approved	03/02/2015
IA	New Mexico	Investment Adviser Representative	Approved	11/14/2008
IA	South Carolina	Investment Adviser Representative	Approved	09/15/2016
IA	Texas	Investment Adviser Representative	Approved	10/24/1996
IA	Washington	Investment Adviser Representative	Approved	09/28/2012

Branch Office Locations

1543 Green Oak Place
Ste. 100

Broker Qualifications



Employment 1 of 2, continued

Kingwood, TX 77339

Employment 2 of 2

Firm Name: **D.H. HILL SECURITIES, LLLP**

Main Office Address: **1543 GREEN OAK PLACE, SUITE 100
KINGWOOD, TX 77339**

Firm CRD#: **41528**

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	10/24/1996
B FINRA	Direct Participation Programs	Approved	01/02/1997
B FINRA	Invest. Co and Variable Contracts	Approved	01/02/1997
B FINRA	General Securities Principal	Approved	11/26/1997
B FINRA	Introducing BD/Finan Operation Principal	Approved	04/06/2001
B FINRA	Municipal Fund	Approved	11/07/2007
B FINRA	Operations Professional	Approved	12/09/2011
B FINRA	Compliance Officer	Approved	10/01/2018

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	09/25/2014
B Arizona	Agent	Approved	06/24/2005
B Arkansas	Agent	Approved	03/31/2011
B California	Agent	Approved	06/24/2005
B District of Columbia	Agent	Approved	06/29/2015
B Florida	Agent	Approved	01/07/2003
B Illinois	Agent	Approved	02/14/2005

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Indiana	Agent	Approved	09/24/2002
B	Maine	Agent	Approved	04/11/2024
B	Maryland	Agent	Approved	01/13/2015
B	Massachusetts	Agent	Approved	06/24/2005
B	Michigan	Agent	Approved	06/24/2005
B	Montana	Agent	Approved	02/09/2022
B	Nevada	Agent	Approved	11/08/2012
B	New Hampshire	Agent	Approved	01/17/2012
B	New Jersey	Agent	Approved	06/24/2005
B	New Mexico	Agent	Approved	08/01/2007
B	New York	Agent	Approved	06/24/2015
B	North Carolina	Agent	Approved	10/22/2012
B	Ohio	Agent	Approved	01/25/2008
B	Oklahoma	Agent	Approved	06/24/2005
B	Oregon	Agent	Approved	10/04/2013
B	Pennsylvania	Agent	Approved	06/24/2005
B	South Dakota	Agent	Approved	09/03/2013
B	Tennessee	Agent	Approved	02/08/2008
B	Texas	Agent	Approved	10/24/1996
B	Utah	Agent	Approved	09/20/2013
B	Vermont	Agent	Approved	04/08/2024



Broker Qualifications

Employment 2 of 2, continued

U.S. State/ Territory	Category	Status	Date
<div>B</div> Washington	Agent	Approved	06/24/2005

Branch Office Locations

D.H. HILL SECURITIES, LLLP
1543 GREEN OAK PLACE, SUITE 100
KINGWOOD, TX 77339

D.H. HILL SECURITIES, LLLP
1543 Green Oak Place, Suite 100
Kingwood, TX 77339

D.H. HILL SECURITIES, LLLP
1635 E. HWY 50 SUITE 200-A
CLEMONT, FL 34711



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 4 principal/supervisory exams, 5 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B Compliance Officer Examination	Series 14	01/02/2023
B Municipal Fund Securities Principal Examination	Series 51	11/06/2007
B Introducing Broker/Dealer Financial Operations Principal Examination	Series 28	03/20/2001
B General Securities Principal Examination	Series 24	11/25/1997

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	10/23/1996
B Direct Participation Programs Representative Examination	Series 22	09/30/1994
B Investment Company Products/Variable Contracts Representative Examination	Series 6	10/13/1981

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	10/13/1981

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 04/1993 - 08/1995	INTERSECURITIES, INC.	16164	PHILADELPHIA, PA
B 03/1992 - 12/1992	CADARET, GRANT & CO., INC.	10641	SYRACUSE, NY
B 11/1983 - 12/1990	CADARET, GRANT & CO., INC.	10641	SYRACUSE, NY
B 10/1981 - 11/1983	FIRST AMERICAN NATIONAL SECURITIES, INC.	10111	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
01/2007 - Present	D.H. Hill Insurance Services, LLC	Managing Member	Y	Kingwood, TX, United States
06/1998 - Present	D.H. HILL ADVISORS, INC.	PRESIDENT/IA REPRESENTATIVE	Y	HOUSTON, TX, United States
07/1996 - Present	D.H. HILL SECURITIES, L.L.P.	NOT PROVIDED	Y	HOUSTON, TX, United States
12/1977 - Present	SELF EMPLOYED-INSURANCE SALES	OTHER - SALES-AGENT	N	HUMBLE, TX, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

Dan H. Hill, Texas Real Estate Broker, non investment related, since December 1981, less than 5 hours per month with generally none during trading hours - 1543 Green Oak Place, Kingwood, TX 77339

Dan H. Hill, Investment Advisor Representative with D.H. Hill Advisors, Inc., RIA, since June 1998. Less than 5 hours per month and generally none during trading hours. 1543 Green Oak Place, Kingwood, TX 77339.

Dan H. Hill, President with D.H. Hill Advisors, Inc., a Registered Investment Advisor, since June 1998. Management duties with Less than 10



Registration and Employment History

Other Business Activities, continued

hours per month and generally none during trading hours. 1543 Green Oak Place, Kingwood, TX 77339

Dan H. Hill, Managing Member for D.H. Hill Insurance Services, LLC, a single member LLC, in the insurance life and health industry. Less than 5 hours per month and generally none during trading hours. Administrative role in managing the company and as an agent offering life, health and annuities located at 1543 Green Oak Place, Kingwood, TX 77339

Dan H. Hill, Managing Member for the following energy related companies:

Stone Diamond related companies including Stone Diamond Management, LLC, Stone Diamond Oil & Gas, LLC and Stone Diamond Holding, LLC. Lease and working interests in energy prospects. Administrative role in managing the companies. Less than 5 hours per month and generally not during trading hours. 1543 Green Oak Place, Kingwood, TX 77339

Dan H. Hill, Managing member of D.H. Hill - Green Oak, LLC, single member LLC. Real estate property management with generally less than 5 hours per month and not during trading hours. 1543 Green Oak Place, Kingwood, TX 77339

Dan H. Hill, Business Consultant with Stryde Solutions, a business consulting firm. Not investment related with 5 hours per month or less and generally not during trading hours. May involve life insurance. 1543 Green Oak Place, Kingwood, TX 77339

Dan H. Hill, Managing Member of Stone Diamond Enterprises, LLC which has purchased a small interest in Twin Rivers Group, LLC, a private company that owns interests in various micro enterprises. Dan will spend less than 5 hours per month.

Dan H. Hill is a member of the advisory board for Twin Rivers Group, LLC and will provide limited consulting regarding the various enterprises owned by TRG.

Dan will spend less than 5 hours per week in this capacity.

Dan H. Hill is a managing member of Fidalgo Diversified Holdings, LLC, a single member LLC that owns a small interest in TRG, a private equity firm that owns interests in various micro enterprises. Dan will spend less than 5 hours per month.

Dan H. Hill is a managing member of Skagit Valley Alternatives, LLC, a single member LLC that owns a small interest in Hillsboro Associates, LLC, a private company that is in the mineral import business. Dan will spend less than 5 hours per month managing this company.

Trackfolio, LLC, Software company, Managing Member, Not Active, Not Investment Related, 0 hours per month, 1543 Green Oak Place, Kingwood, TX 77339

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 -
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	D.H. Hill Securities, LLLP; IMS Securities, Inc.
Allegations:	Civil Rico, Civil Rico Conspiracy, Negligent Supervision from approx 1999 to 2003
Product Type:	Other: REITs
Alleged Damages:	\$954,700.00
Alleged Damages Amount Explanation (if amount not exact):	Exact amount not specified
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	17-01486
Filing date of arbitration/CFTC reparation or civil litigation:	06/09/2017



Customer Complaint Information

Date Complaint Received:	06/13/2017
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	06/13/2017
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	17-01486
Date Notice/Process Served:	06/09/2017
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/19/2019
Monetary Compensation Amount:	\$13,000.00
Individual Contribution Amount:	\$13,000.00
Broker Statement	The allegations against Danny Hill and D.H. Hill Securities is primarily for improper supervision for registered representatives of the firm. This case goes back to 1998; the last representative involved in this case, left the firm in 2003. Danny Hill had no direct contact with customers as he was named primarily because he is a principal of the firm, D.H. Hill Securities. The last investment occurred over 14 years ago. The representatives resigned from our firm and moved all client and assets to the new firm where they continued doing business with these customers. This case is without merit and extremely aged.

End of Report



This page is intentionally left blank.