

## **BrokerCheck Report**

# **BRUCE TITUS HILBY**

CRD# 1130540

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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:
  - o 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
  - o 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.

### **BRUCE T. HILBY**

CRD# 1130540

This broker is not currently registered.

## **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 not currently registered.

#### This broker has passed:

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

### **Registration History**

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

B HILBY WILSON INC. CRD# 13417 PHOENIX, AZ 04/1983 - 02/2020

#### **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? No

### **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 broker is not currently registered.

### **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 0 principal/supervisory exams, 1 general industry/product exam, and 0 state securities law exams.

## **Principal/Supervisory Exams**

Exam		Category	Date
No info	ormation reported.		
General Indu	ustry/Product Exams		
Exam		Category	Date
B Securi	ties Industry Essentials Examination	SIE	10/01/2018
State Securi	ities Law Exams		
Exam		Category	Date
No info	ormation reported.		

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 Da	ites	Firm Name	CRD#	Branch Location
B 04/1983 -	02/2020	HILBY WILSON INC.	13417	PHOENIX, AZ

### **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.

<b>Employment</b>	Employer Name	Position	Investment Related	<b>Employer Location</b>
01/1980 - Present	TIERRA ASSOCIATES LTD	PRESIDENT - President	N	PHOENIX, AZ, United States
09/1977 - Present	HILBY & WILSON ATT. AT LAW	OTHER - PARTNER	N	AVONDALE, AZ, United States
01/1977 - Present	HILBY WILSON INC.	OTHER - DP	Υ	AVONDALE, AZ, United States

#### **Other Business Activities**

TIERRA ASSOCIATES, LTD

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.

MANAGES THE FOLLOWING PRIVATE PLACEMENTS FOR AN AVERAGE OF 30-40 HOURS PER WEEK ALL PERFORMED AT THE HILBY WILSON, INC ADDRESS COTTON LANE 660, LLLP BELLUZZI 510, LLLP FULLMER 155, LLLP COTTON LANE & I-10 FARMS I, LLC TAMARON RANCH 31 LOTS INVESTORS, LLC TAMARON RANCH 79 INVESTORS, LLC TERRAVISTA 62 LOT INVESTORS, LLC TERRAVISTA 2010 INVESTORS, LLC MICHIGAN AVE & 19TH STREET, LLC MYRTLE & 77TH LANE LLC

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# **Registration and Employment History**



## Other Business Activities, continued

VOLUNTEER DIRECTOR OF GREATER MARICOPA FOREIGN TRADE ZONE LOCATED AT 14100 N 83RD AVE #150, PEORIA, AZ 85381

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# **End of Report**



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