

BrokerCheck Report

JEFFREY NEILL GLENN

CRD# 2488650

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

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.



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.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

JEFFREY N. GLENN

CRD# 2488650

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

B **BBVA SECURITIES INC.**
 1425 SIDNEY BAKER
 KERRVILLE, TX 78028
 CRD# 27060
 Registered with this firm since: 05/16/2013

IA **BBVA WEALTH SOLUTIONS INC.**
 5231 DeZavala
 San Antonio, TX 78249
 CRD# 110476
 Registered with this firm since: 02/02/2017

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
- 23 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

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

- B** **BBVA COMPASS INVESTMENT SOLUTIONS, INC**
 CRD# 17086
 SAN ANTONIO, TX
 01/2004 - 05/2013
- B** **BANC ONE SECURITIES CORPORATION**
 CRD# 16999
 CHICAGO, IL
 06/2003 - 01/2004
- B** **USAA INVESTMENT MANAGEMENT COMPANY**
 CRD# 5475
 SAN ANTONIO, TX
 09/1998 - 02/2002

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	4



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 23 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **BBVA SECURITIES INC.**

Main Office Address: **1345 AVENUE OF THE AMERICAS 44TH FLOOR
NEW YORK, NY 10105-0302**

Firm CRD#: **27060**

SRO	Category	Status	Date
B FINRA	Invest. Co and Variable Contracts	APPROVED	05/16/2013
B FINRA	General Securities Representative	APPROVED	10/28/2015

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	APPROVED	05/16/2013
B Arizona	Agent	APPROVED	05/16/2013
B California	Agent	APPROVED	05/16/2013
B Colorado	Agent	APPROVED	05/16/2013
B Florida	Agent	APPROVED	05/16/2013
B Georgia	Agent	APPROVED	01/30/2019
B Hawaii	Agent	APPROVED	04/18/2019
B Illinois	Agent	APPROVED	12/17/2019
B Louisiana	Agent	APPROVED	01/15/2019
B Maryland	Agent	APPROVED	05/16/2013
B Massachusetts	Agent	APPROVED	05/16/2013



Broker Qualifications

Employment 1 of 2, continued

U.S. State/ Territory	Category	Status	Date
B Minnesota	Agent	APPROVED	11/20/2013
B Missouri	Agent	APPROVED	07/13/2018
B Montana	Agent	APPROVED	04/10/2017
B New Mexico	Agent	APPROVED	05/16/2013
B New York	Agent	APPROVED	01/29/2016
B North Carolina	Agent	APPROVED	05/16/2013
B Oklahoma	Agent	APPROVED	07/10/2013
B Pennsylvania	Agent	APPROVED	06/20/2014
B South Carolina	Agent	APPROVED	05/16/2013
B Texas	Agent	APPROVED	05/16/2013
B Virginia	Agent	APPROVED	12/19/2019
B Washington	Agent	APPROVED	05/17/2016

Branch Office Locations

BBVA SECURITIES INC.

1425 SIDNEY BAKER
KERRVILLE, TX 78028

BBVA SECURITIES INC.

5231 DEZAVALA
SAN ANTONIO, TX 78249

BBVA SECURITIES INC.

300 WEST MAIN STREET
FREDERICKSBURG, TX 78624

BBVA SECURITIES INC.

3101 THOUSAND OAKS DRIVE



Broker Qualifications

Employment 1 of 2, continued

SAN ANTONIO, TX 78247

BBVA SECURITIES INC.

15900 LA CANTERA PARKWAY,
SUITE 3445
SAN ANTONIO, TX 78256

BBVA SECURITIES INC.

4625 CENTERVIEW DRIVE
SAN ANTONIO, TX 78228

Employment 2 of 2

Firm Name: **BBVA WEALTH SOLUTIONS INC.**

Main Office Address: **2200 POST OAK BLVD.
HOUSTON, TX 77056-4700**

Firm CRD#: **110476**

U.S. State/ Territory	Category	Status	Date
IA California	Investment Adviser Representative	APPROVED	09/26/2018
IA Colorado	Investment Adviser Representative	APPROVED	11/20/2018
IA Hawaii	Investment Adviser Representative	APPROVED	04/23/2019
IA Louisiana	Investment Adviser Representative	APPROVED	01/15/2019
IA North Carolina	Investment Adviser Representative	APPROVED	04/22/2021
IA Oklahoma	Investment Adviser Representative	APPROVED	09/26/2018
IA South Carolina	Investment Adviser Representative	APPROVED	05/12/2021
IA Texas	Investment Adviser Representative	APPROVED	02/02/2017
IA Washington	Investment Adviser Representative	APPROVED	09/26/2018

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

Broker Qualifications



Employment 2 of 2, continued



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.

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	10/01/2018
B General Securities Representative Examination	Series 7	10/28/2015
B Investment Company Products/Variable Contracts Representative Examination	Series 6	08/31/1998

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	01/19/2017
B Uniform Securities Agent State Law Examination	Series 63	11/04/1998

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 01/2004 - 05/2013	BBVA COMPASS INVESTMENT SOLUTIONS, INC	17086	SAN ANTONIO, TX
B 06/2003 - 01/2004	BANC ONE SECURITIES CORPORATION	16999	CHICAGO, IL
B 09/1998 - 02/2002	USAA INVESTMENT MANAGEMENT COMPANY	5475	SAN ANTONIO, TX

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
01/2017 - Present	BBVA Wealth Solutions Inc.	Financial Consultant	Y	San Antonio, TX, United States
05/2013 - Present	BBVA SECURITIES INC.	MASS TRANSFER	Y	SAN ANTONIO, TX, United States
01/2004 - Present	BBVA COMPASS INSURANCE AGENCY, INC.	AGENT	Y	AUSTIN, TX, United States
12/2003 - Present	COMPASS BANK	EMPLOYEE	Y	BIRMINGHAM, AL, United States
01/2002 - Present	EXECUTIVE LANDSCAPING	OWNER/LANDSCAPING	N	SAN ANTONIO, TX, United States
01/2004 - 05/2013	BBVA COMPASS INVESTMENT SOLUTIONS, INC.	PERSONAL INVESTMENT OFFICER	Y	SAN ANTONIO, TX, United States



Registration and Employment History

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.

COMPASS BANK / YES / 15 SOUTH 20TH STREET, BIRMINGHAM, ALABAMA 35233 / 12/15/2003 / 160 / 160 / COMPASS BANK IS AN AFFILIATE OF BBVA SECURITIES INC. AND THE FIRM CONDUCTS SECURITIES ACTIVITIES ON BANK PREMISES PURSUANT TO A NETWORKING ARRANGEMENT. REPRESENTATIVE IS ALSO AN EMPLOYEE OF FIRM'S AFFILIATE BANK AND IS AUTHORIZED TO OFFER PRODUCTS OF AND PERFORM SERVICES FOR THE BANK. / COMMERCIAL BANK / EMPLOYEE / LIFE AND HEALTH LICENSE / NO / NO ///

BBVA COMPASS INSURANCE AGENCY, INC. / YES / 5800 N. MOPAC EXPY, AUSTIN, TEXAS 78731 / 01/09/2004 / 80 / 80 / SALES OF INSURANCE PRODUCTS THROUGH AFFILIATED INSURANCE AGENCY / BANK AFFILIATED INSURANCE AGENCY SELLING INSURANCE AND ANNUITY PRODUCTS TO BANK AND BROKERAGE CLIENTS / AGENT / LIFE AND HEALTH LICENSE / NO / NO ///

JEFF GLENN

POSITION: Owner NATURE: Lawn Care INVESTMENT RELATED: No NUMBER OF HOURS: 6 SECURITIES TRADING HOURS: 0 START DATE: 03/01/2001

ADDRESS: 7803 Midnight Stage, San ANTONIO, TX 78255

DESCRIPTION: Maintain grounds at Sheperd of the Hills Lutheran Church ///

RENTAL HOME

POSITION: Owner NATURE: Rental income INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 02/02/2016

ADDRESS: 612 Port #5, Horseshoe TX 78657

DESCRIPTION: I have a Outside Management Co "All Seasons Accomodations" managing the property. ///

SHEPERD OF THE HILL LUTHERAN SCHOOL

POSITION: School Board NATURE: To be a leader and a member of the board of eduction for Sheperd of the Hill Lutheran School. Attend and help with voting on things that need to be done on campus. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 06/14/2020

ADDRESS: 6914 Wurzbach Rd, San Antonio TX 78240, United States

DESCRIPTION: Be apart of the school board. Attend 1 monthly meeting and vote on any items that may need to addressed regarding the school and it's ability to get things done.

Port of Call HOA

POSITION: officer or secretary

INVESTMENT RELATED: No

NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0

START DATE: 09/01/2019

ADDRESS: 612 Port #5, Horseshoe Bay, TX 78654

DESCRIPTION: Take notes during annual meeting and 1 monthly phone meeting to go over budget.



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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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	4	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 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BBVA Securities Inc.

Allegations: Customer opened an account with the firm in August, 2018. Customer transferred securities into that account from another firm. Customer also opened an account with the firm's investment advisory affiliate, which was funded by the liquidation of a portion of the holdings in her cash account. These transactions took place in September of 2018. In April of 2019, customer lodged an oral complaint alleging that she did not authorize the liquidation of holdings in her cash account and suffered damages as a result.

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): Firm estimated damages in excess of \$5,000.00.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information



Date Complaint Received: 04/08/2019
Complaint Pending? No
Status: Settled
Status Date: 05/01/2019
Settlement Amount: \$15,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BBVA Securities Inc.

Allegations: Customer opened an account with the firm in August, 2018. Customer transferred securities into that account from another firm. Customer also opened an account with the firm's investment advisory affiliate and authorized the liquidation of a portion of the holdings in her cash account to fund her managed account. These transactions took place in August of 2018. In April of 2019, customer lodged an oral complaint alleging that the amount of securities holdings liquidated from her cash account was in excess of the amount authorized resulting in a greater tax event than she anticipated.

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): Firm estimated damages in excess of \$5,000.00.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/08/2019

Complaint Pending? No



Status:	Settled
Status Date:	05/01/2019
Settlement Amount:	\$43,000.00
Individual Contribution Amount:	\$0.00

Disclosure 3 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BBVA COMPASS INVESTMENT SOLUTIONS, INC.
Allegations:	SON IN HIS CAPACITY OF ATTORNEY-IN-FACT FOR HIS MOTHER, CLAIMS THAT AN INDEXED ANNUITY PURCHASE BY HIS MOTHER WAS UNSUITABLE.
Product Type:	Annuity-Fixed
Alleged Damages:	\$9,000.00
Alleged Damages Amount Explanation (if amount not exact):	APPROXIMATE CONTRACTUAL SURRENDER CHARGE.
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:	06/21/2012
Complaint Pending?	No
Status:	Settled
Status Date:	07/24/2012
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00



Broker Statement

ISSUING INSURANCE CARRIER OPTED TO ALLOW CLIENT TO EXERCISE HER OPTION UNDER THE FREE-LOOK PROVISION IN THE OCNTRACT.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BBVA SECURITIES INC.
Allegations:	Customer purchased variable annuity contract in September, 2014. Customer alleges annuity contract is unsuitable for her at her age. Customer had already surrendered contract at the time of her complaint.
Product Type:	Annuity-Variable
Alleged Damages:	\$25,948.44
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:	10/26/2015
Complaint Pending?	No
Status:	Denied
Status Date:	12/09/2015
Settlement Amount:	
Individual Contribution Amount:	

End of Report



This page is intentionally left blank.