

BrokerCheck Report

NOOR SIRAJ AMIRALI

CRD# 3062220

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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.

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.

**NOOR S. AMIRALI**

CRD# 3062220

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

IA D.H. HILL ADVISORS, INC.
 SPRING, TX
 CRD# 116324
 Registered with this firm since: 09/23/2009

B D.H. HILL SECURITIES, LLLP
 1543 Green Oak Place, Suite 100
 Kingwood, TX 77339
 CRD# 41528
 Registered with this firm since: 06/03/2009

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
- 7 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 WRP INVESTMENTS, INC.**
 CRD# 7365
 HOUSTON, TX
 12/2008 - 02/2009
- IA WRP INVESTMENTS, INC.**
 CRD# 7365
 YOUNGSTOWN, OH
 12/2008 - 12/2008
- IA CHASE INVESTMENT SERVICES CORP.**
 CRD# 25574
 NEW YORK, NY
 07/2005 - 11/2008

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
Regulatory Event	2
Customer Dispute	1
Termination	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 7 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	Florida	Investment Adviser Representative	Approved	10/01/2012
IA	Louisiana	Investment Adviser Representative	Approved	04/08/2011
IA	Texas	Investment Adviser Representative	Approved	09/23/2009

Branch Office Locations

1543 GREEN OAK PLACE
SUITE 100
KINGWOOD, TX 77339

SPRING, TX

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**



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	06/03/2009
B FINRA	Invest. Co and Variable Contracts	Approved	06/03/2009

U.S. State/ Territory	Category	Status	Date
B California	Agent	Approved	01/04/2023
B Florida	Agent	Approved	10/01/2012
B Georgia	Agent	Approved	11/12/2020
B Illinois	Agent	Approved	02/07/2025
B Louisiana	Agent	Approved	03/31/2011
B Texas	Agent	Approved	09/23/2009
B Washington	Agent	Approved	12/21/2022

Branch Office Locations

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



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, 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	07/29/1999
B Investment Company Products/Variable Contracts Representative Examination	Series 6	05/23/1998

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	02/12/2005
B Uniform Securities Agent State Law Examination	Series 63	07/10/1998

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 12/2008 - 02/2009	WRP INVESTMENTS, INC.	7365	HOUSTON, TX
IA 12/2008 - 12/2008	WRP INVESTMENTS, INC.	7365	HOUSTON, TX
B 07/2005 - 11/2008	CHASE INVESTMENT SERVICES CORP.	25574	HOUSTON, TX
IA 07/2005 - 11/2008	CHASE INVESTMENT SERVICES CORP.	25574	HOUSTON, TX
IA 02/2005 - 07/2005	BANC ONE SECURITIES CORPORATION	16999	HOUSTON, TX
B 05/1998 - 07/2005	BANC ONE SECURITIES CORPORATION	16999	CHICAGO, IL

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
05/2009 - Present	D. H. HILL ADVISORS, INC.	ADVISOR	Y	HUMBLE, TX, United States
05/2009 - Present	D. H. HILL SECURITIES, LLP	BROKER	Y	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.

CUSTOMIZED FINANCIAL PLANNING, LLC-INACTIVE COMPANY/0 HRS.

A & K DEVELOPMENT, LLC, MEMBER, NON INVESTMENT RELATED, 1-2 HRS PER WEEK, Rental Property, Record Keeping only

INSURANCE LICENSE, Fixed, Life, Health, Investment Related, Agent

LICENSED WITH DH HILL ADVISORS, INC.

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.
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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
Regulatory Event	0	2	0
Customer Dispute	0	1	N/A
Termination	N/A	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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	05/14/2010
Docket/Case Number:	2008014608801
Employing firm when activity occurred which led to the regulatory action:	CHASE INVESTMENT SERVICES CORP.
Product Type:	No Product
Allegations:	NASD RULES 2110, 3110: AMIRALI PLACED CUSTOMER INITIALS AND SIGNATURES, AND INSERTED DATES ON ACCOUNT DOCUMENTS FOR CUSTOMERS, ALL WITHOUT THE PRIOR KNOWLEDGE OR AUTHORIZATION OF THE CUSTOMERS. AMIRALI THEN SUBMITTED THE ALTERED DOCUMENTS TO HIS MEMBER FIRM AS AUTHENTIC. THE VARIOUS ACTIONS WERE APPROVED BY THE CUSTOMERS, BUT THEY DID NOT AUTHORIZE AMIRALI TO SIGN THEIR INITIALS, SIGNATURES, INSERT DATES OR ALTER THE DOCUMENTS, AND BY CONDUCTING THESE ACTS AMIRALI CAUSED THE FIRM'S BOOKS AND RECORDS TO BE INACCURATE AND THEREFORE IN VIOLATION OF SECURITIES EXCHANGE ACT RULE 17A-3.
Current Status:	Final



Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	05/14/2010
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	THREE MONTHS
Start Date:	06/07/2010
End Date:	09/06/2010

**Monetary Sanction 1 of 1**

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 02/04/2011

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, AMIRALI CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR THREE MONTHS. THE SUSPENSION IS IN EFFECT FROM JUNE 7, 2010, THROUGH SEPTEMBER 6, 2010.

Reporting Source: Broker

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 05/14/2010

Docket/Case Number: 2008014608801

Employing firm when activity occurred which led to the regulatory action: CHASE INVESTMENT SERVICES CORP.

Product Type: No Product

Allegations: NASD RULES 2110, 3110: AMIRALI PLACED CUSTOMER INITIALS AND SIGNATURES, AND INSERTED DATES ON ACCOUNT DOCUMENTS FOR CUSTOMERS, ALL WITHOUT THE PRIOR KNOWLEDGE OR AUTHORIZATION OF THE CUSTOMERS. AMIRALI THEN SUBMITTED THE ALTERED DOCUMENTS TO HIS MEMBER FIRM AS AUTHENTIC. THE VARIOUS



ACTIONS WERE APPROVED BY THE CUSTOMERS, BUT THEY DID NOT AUTHORIZE AMIRALI TO SIGN THEIR INITIALS, SIGNATURES, INSERT DATES OR ALTER THE DOCUMENTS, AND BY CONDUCTING THESE ACTS AMIRALI CAUSED THE FIRM'S BOOKS AND RECORDS TO BE INACCURATE AND THEREFORE IN VIOLATION OF SECURITIES EXCHANGE ACT RULE 17A-3.

Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	05/14/2010
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	3 MONTHS
Start Date:	06/07/2010
End Date:	09/06/2010
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	1ST INSTALLMENT @ 25% AND \$500 PER MO UNTIL PAID IN FULL
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

**Broker Statement**

WITHOUT ADMITTING OR DENYING THE FINDINGS, AMIRALI CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR THREE MONTHS. THE SUSPENSION IS IN EFFECT FROM JUNE 7, 2010, THROUGH SEPTEMBER 6, 2010.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: TEXAS

Sanction(s) Sought: Suspension
Undertaking

Date Initiated: 09/23/2009

Docket/Case Number: IC09-SUS-22

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action: CHASE INVESTMENT SERVICES CORP.

Product Type: Other: FINANCIAL ADVISORY

Allegations: DURING THE REGISTRATION PROCESS, THE STAFF OF THE TEXAS STATE SECURITIES BOARD DISCOVERED THAT FROM IN OR ABOUT 2005 TO IN OR ABOUT 2008, NOOR SIRAJ AMIRALI INITIALED FORMS ON BEHALF OF CUSTOMERS OF CHASE AND SUBMITTED SUCH FORMS TO CHASE, WHICH VIOLATED THE WRITTEN SUPERVISORY PROCEDURES OF THE FIRM.

Current Status: Final

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 09/23/2009

Sanctions Ordered: Suspension



Other: UNDERTAKING, REPRIMAND

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: ALL CAPACITIES
Duration: 3 BUSINESS DAYS
Start Date: 09/23/2009
End Date: 09/28/2009

Regulator Statement

THE REGISTRATION OF NOOR SIRAJ AMIRALI IS HEREBY SUSPENDED FOR A PERIOD OF THREE DAYS FROM THE DATE THE ORDER WAS ENTERED BY THE SECURITIES COMMISSIONER. IN THE EVENT THAT THE REGISTRATIONS OF NOOR SIRAJ AMIRALI IS TERMINATED BEFORE THE END OF THIS PERIOD, THE SUSPENSION PERIOD WILL BE TOLLED FROM THE DATE THAT THE REGISTRATIONS OF NOOR SIRAJ AMIRALI IS TERMINATED TO THE DATE THAT THE REGISTRATION OF NOOR SIRAJ AMIRALI IS AGAIN EFFECTIVE.

Reporting Source: Broker
Regulatory Action Initiated By: TEXAS STATE SECURITIES BOARD
Sanction(s) Sought: Suspension
 Undertaking
 Other: UNDERTAKING, REPRIMAND
Date Initiated: 09/23/2009
Docket/Case Number: IC09-SUS-22
Employing firm when activity occurred which led to the regulatory action: CHASE INVESTMENT SERVICES CORP.
Product Type: Other: FINANCIAL ADVISORY
Allegations: DURING THE REGISTRATION PROCESS, THE STAFF OF THE TEXAS STATE SECURITIES BOARD DISCOVERED THAT FROM IN OR ABOUT 2005 TO IN OR ABOUT 2008, NOOR SIRAJ AMIRALI INITIALED FORMS ON BEHALF OF CUSTOMERS OF CHASE AND SUBMITTED SUCH FORMS TO CHASE, WHICH VIOLATED THE WRITTEN SUPERVISORY PROCEDURES OF THE FIRM.
Current Status: Final



Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/23/2009
Sanctions Ordered:	Suspension Other: UNDERTAKING, REPRIMAND
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	3 BUSINESS DAYS
Start Date:	09/23/2009
End Date:	09/28/2009
Broker Statement	<p>THE REGISTRATION OF NOOR SIRAJ AMIRALI IS HEREBY SUSPENDED FOR A PERIOD OF THREE DAYS FROM THE DATE THE ORDER WAS ENTERED BY THE SECURITIES COMMISSIONER. IN THE EVENT THAT THE REGISTRATIONS OF NOOR SIRAJ AMIRALI IS TERMINATED BEFORE THE END OF THIS PERIOD, THE SUSPENSION PERIOD WILL BE TOLLED FROM THE DATE THAT THE REGISTRATIONS OF NOOR SIRAJ AMIRALI IS TERMINATED TO THE DATE THAT THE REGISTRATION OF NOOR SIRAJ AMIRALI IS AGAIN EFFECTIVE. SUSPENSION HAS NOW ENDED AND NOOR SIRAJ AMIRALI WILL BE UNDER THE CLOSE SUPERVISION OF D. H. HILL ADVISORS, INC. AND D. H. HILL SECURITIES, LLP. BY COMPLIANCE SUPERVISOR, DAN H. HILL FOR A PERIOD OF 2 YEARS BEGINNING 09/29/2009. WRITTEN SUPERVISORY PROCEDURES WILL BE IN PLACE AND REVIEWED ON A REGULAR BASIS BY DAN H. HILL, COMPLIANCE SUPERVISOR.</p>



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
Allegations:	Allegations include Breach of Contract, Violation of State Securities Statutes, Breach of Fiduciary Duty, Negligence, Misrepresentation, Unjust Enrichment, Failure to Supervise, Statutory Damages, and control Person Liability for products sold during May 2015.
Product Type:	Real Estate Security Other: BDC
Alleged Damages:	\$36,000.00
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 #:	21-00803
Filing date of arbitration/CFTC reparation or civil litigation:	03/26/2021

Customer Complaint Information

Date Complaint Received:	04/01/2021
Complaint Pending?	No
Status:	Settled
Status Date:	06/16/2022
Settlement Amount:	\$14,999.00
Individual Contribution Amount:	\$12,000.00



Broker Statement

The Firm denies all allegations of wrongdoing in connection with this matter. All investments were completely suitable based on information provided by the client, and the material risks and features of the investments were fully and accurately disclosed to the client. The Firm made a business decision to resolve this matter in order to avoid the costs and distraction of further litigation.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Employer Name: CHASE INVESTMENT SERVICES CORPORATION

Termination Type: Discharged

Termination Date: 10/09/2008

Allegations: ON SEPTEMBER 24, 2008, CISC RECEIVED A REQUEST FROM FINRA INDICATING THAT THEY WERE IN RECEIPT OF AN ANONYMOUS TIP ALLEGING THAT MR. AMIRALI HAD PLACED CLIENT'S INITIALS ON MANAGED MONEY AND ANNUITY PAPERWORK. FINRA REQUESTED THE FIRM CONDUCT AN INTERNAL REVIEW AND RESPOND ACCORDINGLY. AN INVESTIGATION WAS CONDUCTED, AND MR. AMARILI ADMITTED THAT ON OCCASIONS HE DID SUPPLY CUSTOMERS' INITIALS TO CERTAIN DOCUMENTS HE HANDLED OR THAT WERE UNDER HIS SUPERVISION.

Product Type: No Product

Other Product Types:

Reporting Source: Broker

Employer Name: CHASE INVESTMENT SERVICES CORPORATION

Termination Type: Discharged

Termination Date: 10/09/2008

Allegations: ON SEPTEMBER 24, 2008, CISC RECEIVED A REQUEST FROM FINRA INDICATING THAT THEY WERE IN RECEIPT OF AN ANONYMOUS TIP ALLEGING THAT MR. AMIRALI HAD PLACED CLIENT'S INITIALS ON MANGED MONEY AND ANNUITY PAPERWORK. FINRA REQUESTED THE FIRM TO CONDUCT AN INTERNAL REVIEW AND RESPOND ACCORDINGLY. AN INVESTIGATION WAS CONDUCTED, AND MR. AMARILI ADMITTED THAT ON OCCASIONS HE DID SUPPLY CUSTOMER' INITALS TO CERTAIN DOCUMEENTS HE HANDLED OR THAT WERE UNDER HIS SUPERVISION

Product Type: No Product

Other Product Types:

End of Report



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