

BrokerCheck Report

KEVIN DOELL

CRD# 7447179

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

KEVIN DOELL

CRD# 7447179

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

IA HILLTOP SECURITIES INC.
 24560 SILVER CLOUD CT.
 SUITE 201
 MONTEREY, CA 93940
 CRD# 6220
 Registered with this firm since: 12/04/2023

B HILLTOP SECURITIES INC.
 24560 SILVER CLOUD CT.
 SUITE 201
 MONTEREY, CA 93940-6555
 CRD# 6220
 Registered with this firm since: 12/04/2023

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:

- 3 Self-Regulatory Organizations
- 23 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA PARK AVENUE SECURITIES LLC**
 CRD# 46173
 NEW YORK, NY
 07/2022 - 12/2023
- B PARK AVENUE SECURITIES LLC**
 CRD# 46173
 DEERFIELD, IL
 05/2022 - 12/2023
- B MOMENTUM INDEPENDENT NETWORK INC.**
 CRD# 17587
 DALLAS, TX
 12/2023 - 12/2023

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 individual is currently registered with 3 SROs and is licensed in 23 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **HILLTOP SECURITIES INC.**

Main Office Address: **717 N. HARWOOD STREET
SUITE 3400
DALLAS, TX 75201**

Firm CRD#: **6220**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	12/04/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	12/04/2023
B	New York Stock Exchange	General Securities Representative	Approved	12/04/2023

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	08/08/2024
IA	Arizona	Investment Adviser Representative	Approved	08/09/2024
B	California	Agent	Approved	12/04/2023
IA	California	Investment Adviser Representative	Approved	12/05/2023
B	Colorado	Agent	Approved	12/04/2023
IA	Colorado	Investment Adviser Representative	Approved	12/04/2023
B	Connecticut	Agent	Approved	06/14/2024
IA	Connecticut	Investment Adviser Representative	Approved	06/17/2024
B	Florida	Agent	Approved	06/07/2024
IA	Florida	Investment Adviser Representative	Approved	06/10/2024



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Hawaii	Agent	Approved	11/11/2025
IA	Hawaii	Investment Adviser Representative	Approved	11/13/2025
B	Idaho	Agent	Approved	05/22/2025
IA	Idaho	Investment Adviser Representative	Approved	05/22/2025
B	Illinois	Agent	Approved	12/04/2023
IA	Illinois	Investment Adviser Representative	Approved	12/04/2023
B	Louisiana	Agent	Approved	10/17/2024
B	Michigan	Agent	Approved	05/08/2026
IA	Michigan	Investment Adviser Representative	Approved	05/12/2026
B	Missouri	Agent	Approved	11/19/2025
IA	Missouri	Investment Adviser Representative	Approved	11/19/2025
B	Nebraska	Agent	Approved	01/16/2026
IA	Nebraska	Investment Adviser Representative	Approved	01/22/2026
B	Nevada	Agent	Approved	01/20/2026
IA	Nevada	Investment Adviser Representative	Approved	01/21/2026
B	New Mexico	Agent	Approved	01/22/2026
IA	New Mexico	Investment Adviser Representative	Approved	01/23/2026
B	North Dakota	Agent	Approved	10/17/2024
B	Oklahoma	Agent	Approved	09/29/2025
IA	Oklahoma	Investment Adviser Representative	Approved	09/29/2025
B	Oregon	Agent	Approved	10/23/2024



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Oregon	Investment Adviser Representative	Approved	10/25/2024
B	Tennessee	Agent	Approved	05/12/2026
B	Texas	Agent	Approved	09/29/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	09/30/2025
B	Utah	Agent	Approved	01/22/2024
IA	Utah	Investment Adviser Representative	Approved	01/23/2024
B	Washington	Agent	Approved	09/29/2025
IA	Washington	Investment Adviser Representative	Approved	09/29/2025
B	Wisconsin	Agent	Approved	12/04/2023
IA	Wisconsin	Investment Adviser Representative	Approved	12/04/2023
B	Wyoming	Agent	Approved	12/18/2024

Branch Office Locations

HILLTOP SECURITIES INC.
 24560 SILVER CLOUD CT.
 SUITE 201
 MONTEREY, CA 93940-6555



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, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	05/03/2022
B Securities Industry Essentials Examination	SIE	03/07/2022

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	06/11/2022

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
IA 07/2022 - 12/2023	PARK AVENUE SECURITIES LLC	46173	DEERFIELD, IL
B 05/2022 - 12/2023	PARK AVENUE SECURITIES LLC	46173	DEERFIELD, IL
B 12/2023 - 12/2023	MOMENTUM INDEPENDENT NETWORK INC.	17587	DALLAS, TX
IA 12/2023 - 12/2023	MOMENTUM INDEPENDENT NETWORK INC.	17587	DALLAS, 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
12/2023 - Present	Hilltop Securities Inc.	Financial Advisor	Y	Monterey, CA, United States
04/2022 - 12/2023	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	CHICAGO, IL, United States
09/2021 - 12/2023	Guardian Insurance Company	Financial Representative	N	Chicago, IL, United States
07/2019 - 07/2022	Chicago Stallions Youth Hockey Association	Director for a youth hockey association called the Chicago Stallions.	N	Chicago, IL, United States
04/2016 - 01/2022	O'Leary and Associates	Economist/Trader	N	Chicago, IL, 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.

1] Chicago North High School Hockey Club; non-investment related; Chicago, IL; Hockey Director; Started 07/2022; 10 hrs/mo; zero hrs/mo



Registration and Employment History

Other Business Activities, continued

during business hours.

2] Monterey Chamber of Commerce Ambassador; non-investment related, 353 Camino El Estero Monterey, CA 93940, Ambassador, Chamber of Commerce, started 1/7/2025, 5 hrs/month non-business hours, 0 hrs/month Trading hours, attend some meetings and events throughout the year to help greet and network with other Chamber of Commerce members.

3] Chicago Hockey Institute, LLC, non-investment related, 201 N Westshore Drive #908 Chicago, IL 60601, LLC to receive payment for consulting for Hockey Director and possible camps/clinics, Owner, Start date 04/19/2017, 10 hrs/mo non-business hours, 0 hrs/month Trading hours.

End of Report



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