



IAPD Report

DANNY HAROLD HILL

CRD# 1012712

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page
<http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

DANNY HAROLD HILL (CRD# 1012712)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **08/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	D.H. HILL SECURITIES, LLLP	CRD# 41528	10/24/1996
IA	D.H. HILL ADVISORS, INC.	CRD# 116324	10/24/1996

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **32** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **Yes**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	INTERSECURITIES, INC.	16164	PHILADELPHIA, PA	04/01/1993 - 08/22/1995
B	CADARET, GRANT & CO., INC.	10641	SYRACUSE, NY	03/13/1992 - 12/31/1992
B	CADARET, GRANT & CO., INC.	10641	SYRACUSE, NY	11/12/1983 - 12/31/1990

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 32 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

This individual has 8 inactive or suspended registration(s).

Employment 1 of 2

Firm Name: **D.H. HILL SECURITIES, LLLP**
Main Address: 1543 GREEN OAK PLACE, SUITE 100
KINGWOOD, TX 77339
Firm ID#: 41528

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



Qualifications

Regulator	Registration	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
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



Qualifications

Regulator	Registration	Status	Date
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
B Washington	Agent	Approved	06/24/2005

Branch Office Locations

1543 Green Oak Place, Suite 100
Kingwood, TX 77339

Employment 2 of 2

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

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

Firm ID#: 116324

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA Florida	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026



Qualifications

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA Kansas	Investment Adviser Representative	Approved	10/15/2014
IA Massachusetts	Investment Adviser Representative	Approved	11/07/2008
IA Nebraska	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA New Mexico	Investment Adviser Representative	Approved	11/14/2008
IA South Carolina	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA Texas	Investment Adviser Representative	Approved	10/24/1996
IA Washington	Investment Adviser Representative	Approved	09/28/2012

Branch Office Locations

D.H. HILL ADVISORS, INC.

1543 Green Oak Place
Ste. 100
Kingwood, TX 77339



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

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
 Compliance Officer Examination (S14)	Series 14	01/02/2023
 Municipal Fund Securities Principal Examination (S51)	Series 51	11/06/2007
 Introducing Broker/Dealer Financial Operations Principal Examination (S28)	Series 28	03/20/2001
 General Securities Principal Examination (S24)	Series 24	11/25/1997

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/23/1996
 Direct Participation Programs Representative Examination (S22)	Series 22	09/30/1994
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/13/1981

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/13/1981



PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	04/01/1993 - 08/22/1995	INTERSECURITIES, INC.	CRD# 16164	PHILADELPHIA, PA
B	03/13/1992 - 12/31/1992	CADARET, GRANT & CO., INC.	CRD# 10641	SYRACUSE, NY
B	11/12/1983 - 12/31/1990	CADARET, GRANT & CO., INC.	CRD# 10641	SYRACUSE, NY
B	10/31/1981 - 11/28/1983	FIRST AMERICAN NATIONAL SECURITIES, INC.	CRD# 10111	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	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 representative regarding other business activities the representative 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 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



Registration & Employment History

OTHER BUSINESS ACTIVITIES

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 Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Individual
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

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