



IAPD Report

ROBERT DIXON HOPKINS

CRD# 1204247

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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

ROBERT DIXON HOPKINS (CRD# 1204247)

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 **03/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WILLIAM BLAIR	CRD# 1252	01/25/2019
IA	WILLIAM BLAIR & COMPANY L.L.C.	CRD# 1252	02/04/2019

QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **29** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

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
IA	BROWN ADVISORY SECURITIES, LLC	120736	BALTIMORE, MD	10/28/2003 - 01/28/2019
B	BROWN ADVISORY SECURITIES, LLC	120736	BALTIMORE, MD	11/20/2002 - 01/28/2019
IA	BROWN ADVISORY SECURITIES, LLC	120827	BALTIMORE, MD	07/24/2003 - 10/10/2003

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 **29** jurisdiction(s) and 3 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WILLIAM BLAIR & COMPANY L.L.C.**
Main Address: 150 NORTH RIVERSIDE PLAZA
CHICAGO, IL 60606
Firm ID#: 1252

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	01/25/2019
B	FINRA	General Securities Representative	Approved	01/25/2019
B	FINRA	General Securities Sales Supervisor	Approved	01/25/2019
B	Nasdaq Stock Market	General Securities Principal	Approved	01/25/2019
B	Nasdaq Stock Market	General Securities Representative	Approved	01/25/2019
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	01/25/2019
B	New York Stock Exchange	General Securities Principal	Approved	01/25/2019
B	New York Stock Exchange	General Securities Representative	Approved	01/25/2019
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	01/25/2019
B	California	Agent	Approved	03/01/2019
B	Colorado	Agent	Approved	07/18/2019
B	Delaware	Agent	Approved	02/15/2019
B	District of Columbia	Agent	Approved	01/06/2021



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	02/15/2019
B Georgia	Agent	Approved	10/21/2019
B Illinois	Agent	Approved	01/25/2019
IA Illinois	Investment Adviser Representative	Approved	02/11/2019
B Kentucky	Agent	Approved	05/13/2019
B Louisiana	Agent	Approved	02/21/2019
B Maine	Agent	Approved	03/17/2026
B Maryland	Agent	Approved	01/25/2019
IA Maryland	Investment Adviser Representative	Approved	02/04/2019
B Massachusetts	Agent	Approved	02/15/2019
B Michigan	Agent	Approved	07/24/2019
B Missouri	Agent	Approved	04/05/2019
B Montana	Agent	Approved	06/07/2019
B Nevada	Agent	Approved	05/11/2020
B New Hampshire	Agent	Approved	01/07/2020
B New Mexico	Agent	Approved	02/18/2019
B New York	Agent	Approved	02/15/2019
B North Carolina	Agent	Approved	02/15/2019
B Ohio	Agent	Approved	07/12/2020



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	01/06/2021
B Rhode Island	Agent	Approved	07/23/2020
B South Carolina	Agent	Approved	03/04/2019
B Texas	Agent	Approved	02/15/2019
B Vermont	Agent	Approved	12/20/2019
B Virginia	Agent	Approved	02/20/2019
B Washington	Agent	Approved	02/15/2019
B Wyoming	Agent	Approved	02/19/2026

Branch Office Locations

WILLIAM BLAIR & COMPANY L.L.C.
100 INTERNATIONAL DRIVE
SUITE 19000
BALTIMORE, MD 21202

WILLIAM BLAIR & COMPANY L.L.C.
REISTERSTOWN, MD



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
General Securities Principal Examination (S24)	Series 24	05/16/2002
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	08/05/1999

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	12/17/1983

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	07/22/2003
Uniform Securities Agent State Law Examination (S63)	Series 63	01/06/1984

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
IA	10/28/2003 - 01/28/2019	BROWN ADVISORY SECURITIES, LLC	CRD# 120736	BALTIMORE, MD
B	11/20/2002 - 01/28/2019	BROWN ADVISORY SECURITIES, LLC	CRD# 120736	BALTIMORE, MD
IA	07/24/2003 - 10/10/2003	BROWN ADVISORY SECURITIES, LLC	CRD# 120827	BALTIMORE, MD
B	01/13/2001 - 12/09/2002	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	NEW YORK, NY
B	09/01/1997 - 01/13/2001	DB ALEX. BROWN LLC	CRD# 17790	BALTIMORE, MD
B	01/03/1984 - 09/01/1997	ALEX. BROWN & SONS INCORPORATED	CRD# 20	

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
01/2019 - Present	WILLIAM BLAIR	WEALTH ADVISOR	Y	CHICAGO, IL, United States
11/2002 - 01/2019	BROWN ADVISORY SECURITIES, LLC	FINANCIAL CONSULTANT	Y	BALTIMORE, MD, 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.

WILSON FACES LLC; 2485 NORTH FISH CREEK ROAD, WILSON WY 83014; PERSONAL REAL ESTATE HOLDING; MEMBER; START DATE: MAY, 2019; 0 HOURS; MEMBER

BALTIMORE CEMETERY ASSOCIATION/BALTIMORE CEMETERY - 2500 E. N. AVENUE, BALTIMORE, MD 21231. MR. HOPKINS SERVES AS A BOARD MEMBER FOR THE BALTIMORE CEMETERY ASSOCIATION. A NON-PROFIT ASSOCIATION WHICH OVERSEES THE CEMETERY'S INVESTMENTS AND GENERAL OPERATIONS AND UPKEEP. START DATE OF THIS ACTIVITY: DECEMBER 2012. MR. HOPKINS DEVOTES LESS THAN 5 HOURS PER MONTH TO THIS ACTIVITY. ST. JOHN'S PARISH WESTERN RUN - 3738 BUTLER ROAD, REISTERSTOWN, MD 21136. MR. HOPKINS SERVES AS CHAIR OF THE INVESTMENT COMMITTEE OF ST. JOHN'S CHURCH, WESTERN RUN PARISH, AN EPISCOPAL CHURCH LOCATED IN BALTIMORE COUNTY, MD. STATE DATE OF THIS ACTIVITY: 2014. MR. HOPKINS DEVOTES APPROXIMATELY 5 HOURS PER QUARTER TO THIS ACTIVITY. MARYLAND HISTORICAL SOCIETY - 201 W



Registration & Employment History



OTHER BUSINESS ACTIVITIES

MONUMENT ST, BALTIMORE, MD 21201. MR. HOPKINS SERVES AS A BOARD MEMBER, TREASURER OF FINANCE & INVESTMENT COMMITTEE OF THE MARYLAND CENTER FOR HISTORY AND CULTURE , WHICH COLLECTS, PRESERVES, AND INTERPRETS OBJECTS AND MATERIALS REFLECTING MARYLAND'S HISTORY. START DATE OF THIS ACTIVITY: SEPTEMBER 2015. MR. HOPKINS DEVOTES LESS THAN 5 HOURS PER MONTH TO THIS ACTIVITY.

MR. HOPKINS CURRENTLY SERVES AS TRUSTEE TO THE FOLLOWING TRUSTS:THE CA PORTER HOPKINS TRUST FBO AMORY S. WELD, THE CA PORTER HOPKINS TRUST FBO CHRISTOPHER WELD, THE CA PORTER HOPKINS TRUST FBO DIXON P. WELD, THE EDWARD G. HOPKINS IRREVOCABLE TRUST, THE ROBERT D. HOPKINS, JR. IRREVOCABLE TRUST, THE WILLIAM S. HOPKINS IRREVOCABLE TRUST IN ADDITION, MR. HOPKINS SERVES AS CO-TRUSTEE ON THE FOLLOWING TRUSTS: The CA PORTER HOPKINS IRREVOCABLE TRUST, THE DAVID L. HOPKINS, JR. IRREVOCABLE TRUST, THE D. L. HOPKINS TRUST, THE ROBERT & MARJORIE TAYLOR IRREVOCABLE TRUST, THE BLUE MOUNT IRREVOCABLE TRUST, LESS THAN 1 HOUR PER MONTH PER TRUST IS DEVOTED TO THIS ACTIVITY.

SOUTH SHORE ROAD LP; 2040 GEIST ROAD, REISTERSTOWN, MD 21136; HOLDS REAL PROPERTY; GENERAL PARTNER; 2002; 5 HOURS PER MONTH; GENERAL PARTNER

SLEEPY DOG FARM LLC; 2040 GEIST ROAD, REISTERSTOWN, MD 21136; FARMING; MEMBER; 10/08/2019; 3 HOURS PER WEEK; MEMBER

THOMAS WILSON FOUNDATION FOR THE CHILDREN OF BALTIMORE CITY; P.O. BOX 3418 BALTIMORE, MD 21225-0418; NON-PROFIT FOUNDATION; PRESIDENT; 09/13/2019; 5 HOURS PER MONTH; OVERSEE THE BOARD AND ORGANIZATION



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: ALEX BROWN & SONS INCORPORATED

Allegations:

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 03/18/1988

Complaint Pending? No

Status: Settled

Status Date: 04/06/1988

Settlement Amount: \$24,108.29

Individual Contribution Amount: \$24,108.29

Broker Statement U4 DISCLOSES THAT ON MARCH 18, 1988, [CUSTOMER] CONTACTED A MANAGING DIRECTOR OF ALEX BROWN & SONS INCORPORATED TO COMPLAIN ABOUT THE SERVICE HE RECEIVED FROM ROBERT D. HOPKINS, THE REGISTERED REPRESENTATIVE WHO HANDLED HIS ACCOUNTS. [CUSTOMER] [CUSTOMER] COMPLAINED ABOUT: 1) THE DELAY HE WAS ENCOUNTERING IN HAVING HIS ACCOUNTS TRANSFERRED; B) HOPKIN'S FAILURE TO INFORM HIM ADEQUATELY REGARDING THE MANNER IN



WHICH TO REDEEM SHARES OF CERTAIN MUTUAL FUNDS HE OWNED; C) A LOSS HE SUFFERED IN CONNECTION WITH THE PURCHASE AND SALE OF DST SYSTEMS IN HIS IRA ACCOUNT. WITH RESPECT TO THE TRANSFER OF [CUSTOMER]'S ACCOUNTS, THE FIRM DETERMINED THAT, ALTHOUGH THE SECURITIES IN HIS ACCOUN HAD BEEN TRANSFERRED TO ANOTHER BROKER-DEALER IN ACCORDANCE WITH HIS INSTRUCTIONS, THE SECURITIES IN [CUSTOMER]'S PERSONAL ACCOUNT HAD NOT YET BEEN DELIVERED TO HIS CUSTODIAN BANK. THE FIRM TOOK MEASURES TO EXPEDITE THE DELIVERY OF THOSE SECURITIES AND HAS DELIVERED THEM IN ACCORDANCE WITH [CUSTOMER'S] INSTRUCTIONS. WITH RESPECT TO [CUSTOMER'S] COMPLAINT REGARDING THE REDEMPTION OF HIS SHARES OF CERTAIN MUTUAL FUNDS, THE FIRM DETERMINED THAT IN A TELEPHONE CONVERSATION WITH [CUSTOMER] ON OCTOBER 5, 1987, HOPKINS COULD HAVE PROVIDED [CUSTOMER] WITH MORE THOROUGH INSTRUCTIONS REGARDING THE MANNER IN WHICH TO REDEEM SHARES PROMPTLY. ACCORDINGLY, THE FIRM OFFERED TO COMPENSATE [CUSTOMER] IN THE AMOUNT OF \$24,108.29, THE DIFFERECNE BETWEEN THE PRICE AT WHICH [CUSTOMER] COULD HAVE REDEEMED HIS SHARES ON OCTOBER 12, 1987, AND THE PRICE AT WHICH [CUSTOMER] DID REDEEM HIS SHARES AT ON OCTOBER 27, 1987. WITH RESPECT TO THE LOSS [CUSTOMER] SUFFERED IN CONNECTION WITH THE PURCHASE AND SALE OF DST SYSTEMS IN HIS IRA ACCOUNT, THE FIRM LEARNED THAT [CUSTOMER] HAD GIVEN MR. HOPKINS ORAL AUTHORIZATION TO EXERCISE DISCRETION IF HE WAS UNREACHABLE. ACTING ON HIS ORAL AUTHORIZATION T*SEE FAQ #1*



End of Report

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