



IAPD Report

TERRENCE HUGH GEE

CRD# 1266030

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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

TERRENCE HUGH GEE (CRD# 1266030)

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 **05/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	04/17/2024
IA	LPL FINANCIAL LLC	CRD# 6413	04/17/2024
IA	PRIVATE ADVISOR GROUP, LLC	CRD# 155216	04/19/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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
B	CROWN CAPITAL SECURITIES, L.P.	6312	San Francisco, CA	02/06/2017 - 04/17/2024
IA	CROWN CAPITAL SECURITIES, L.P.	6312	San Francisco, CA	02/03/2017 - 04/17/2024
IA	QUEST SECURITIES, INC.	6828	SAN FRANCISCO, CA	09/26/2011 - 02/03/2017

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	3



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 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	04/17/2024
B FINRA	General Securities Representative	Approved	04/17/2024
B Arizona	Agent	Approved	05/22/2026
B California	Agent	Approved	04/17/2024
IA California	Investment Adviser Representative	Approved	04/17/2024
B Connecticut	Agent	Approved	04/17/2024
B Florida	Agent	Approved	11/17/2025
B New York	Agent	Approved	04/17/2024
B Texas	Agent	Approved	04/17/2024
B Washington	Agent	Approved	04/17/2024

Branch Office Locations

LPL FINANCIAL LLC
598 BOSWORTH ST STE 1
San Francisco, CA 94131

Employment 2 of 2

Firm Name: **PRIVATE ADVISOR GROUP, LLC**



Qualifications

Main Address: 305 MADISON AVENUE
MORRISTOWN, NJ 07960

Firm ID#: 155216

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	04/19/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	07/18/2024

Branch Office Locations

PRIVATE ADVISOR GROUP, LLC

598 Bosworth St., Suite 1
San Francisco, CA 94131



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	02/24/1993

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	05/19/1984

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	04/28/1995

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	02/06/2017 - 04/17/2024	CROWN CAPITAL SECURITIES, L.P.	CRD# 6312	San Francisco, CA
IA	02/03/2017 - 04/17/2024	CROWN CAPITAL SECURITIES, L.P.	CRD# 6312	San Francisco, CA
IA	09/26/2011 - 02/03/2017	QUEST SECURITIES, INC.	CRD# 6828	SAN FRANCISCO, CA
B	02/22/1995 - 02/03/2017	QUEST SECURITIES, INC.	CRD# 6828	SAN FRANCISCO, CA
B	07/09/1984 - 02/22/1995	HUGH GEE & CO., INC.	CRD# 7085	SAN FRANCISCO, CA
B	12/24/1987 - 04/20/1990	HUGH GEE AND DAUGHTER, INC.	CRD# 19687	

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
04/2024 - Present	LPL FINANCIAL LLC	Registered Representative	Y	San Francisco, CA, United States
04/2024 - Present	Private Advisor Group, LLC	Investment advisor representative	Y	Morristown, NJ, United States
02/2017 - Present	CROWN CAPITAL SECURITIES, LP	REGISTERED REPRESENTATIVE	Y	ORANGE, CA, United States
01/1995 - 02/2017	QUEST SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	SAN FRANCISCO, CA, 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.

- 04/17/2024 - Juno Private Wealth - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - Start Date 04/01/2024 - 160 Hours Per Month/ 8 Hours During Trading
- 04/24/2024 - Private Advisor Group - Registered Investment Advisor Hybrid - Advisor - Investment Related - At Reported Business Location(s) - Start Date 4/1/2024 - 160 Hours Per Month/ 8 Hours During Trading - I provide investment advisory services through Private Advisor Group, an independent investment advisor firm. I started this business activity in 4/2024. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its service6s at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate



Registration & Employment History



OTHER BUSINESS ACTIVITIES

from and independent of LPL Financial.

3. 10/22/2024 - Private Advisor Group - Registered Investment Advisor Hybrid - Advisor - Investment Related - At Reported Business Location(s) - Start Date 10/01/2024 - 160 Hours Per Month/ During Trading - I provide investment advisory services through Private Advisor Group, an independent investment advisor firm. I started this business activity in 10/2024. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its service6s at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.

4. 11/12/2024 - Private Advisor Group - DBA: Juno Asset Management - Registered Investment Advisor Hybrid - Advisor - Investment Related - At Reported Business Location(s) - Start Date 10/01/2024 - 160 Hours Per Month/ During Trading - I provide investment advisory services through Private Advisor Group, an independent investment advisor firm. I started this business activity in 11/2024. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its service6s at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.



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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	QUEST SECURITIES, INC.
Allegations:	BREACHED FIDUCIARY DUTY
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$100,000.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	CONTRA COSTA SUPERIOR COURT
Location of Court:	CONTRA COSTA COUNTY, CALIFORNIA
Docket/Case #:	C10-02831
Date Notice/Process Served:	11/12/2010
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	05/09/2011
Monetary Compensation Amount:	\$14,750.00
Individual Contribution Amount:	\$13,275.00

**Disclosure 2 of 3**

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: HUGH GEE & CO.

Allegations: MISREPRESENTATION; SUITABILITY; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-BREACH OF CONTRACT

Product Type: Other

Other Product Type(s): LIMITED PARTNERSHIPS

Alleged Damages: \$141,840.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #94-01429

Date Notice/Process Served: 07/19/1994

Arbitration Pending? No

Disposition: Award

Disposition Date: 08/21/1995

Disposition Detail: RESPONDENTS ARE JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO CLAIMANTS THE SUM OF \$12,408.25 IN SATISFACTION OF CLAIMANT'S CLAIMS. CLAIMANT'S CLAIM FOR PUNITIVE DAMAGES IS DENIED.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: HUGH GEE & COMPANY

Allegations: CASE AGAINST HUGH GEE, HUGH GEE & CO, TERRENCE GEE ADDED AS A RESPONDENT BECAUSE HE WAS AN OFFICER OF THE GEE COMPANIES. CASE ALLEGES MISREPRESENTATION, UNSUITABILITY, CHURNING, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY AND ALLEGED STATUTORY AND REGULATORY VIOLATIONS.

Product Type: Other

Other Product Type(s): MANANGED STOCK ACCOUNT

Alleged Damages: \$141,840.00

Customer Complaint Information

Date Complaint Received: 04/13/1994

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/17/1995

Settlement Amount:



Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 94-01249

Date Notice/Process Served: 09/17/1995

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 09/17/1995

Monetary Compensation Amount: \$12,408.25

Individual Contribution Amount: \$0.00

Broker Statement

BEFORE THE CLAIM WAS FILED, HUGH GEE AND [CUSTOMER] AGREED THAT \$12,408.25 IN EXCESS OF CONTRACT FEES FOR GEE ASSET MANAGEMENT SHOULD BE REFUNDED. [CUSTOMER'S] LAWYER WANTED MORE MONEY AND FILED THE ELABORATE CLAIM OUTLINED #7. TERRENCE GEE WAS NAMED HAVING NEVER CONDUCTED ANY OF [CUSTOMER'S] WORK. THE NASD ARBITRATORS' AWARD GAVE [CUSTOMER] THE AGREED \$12,408.25. RESPONDENTS DENIED THE ALLEGATIONS AND ASSERTED, AMONG OTHER THINGS, THAT [CUSTOMER] IS A WEALTHY, SOPHISTICATED, AND EXPERIENCED INVESTOR, THAT RESPONDENTS MADE FULL DISCLOSURE TO HIM, THAT HE WANTED AGGRESSIVE MANAGEMENT AND FULLY ACCEPTED THE RISKS, AND THAT HIS ACCOUNT OUTPERFORMED THE MARKET UNDER RESPONDENT'S MANAGEMENT. TERRENCE GEE WAS NOT HELD AS A RESPONSIBLE PARTY AND WAS EXCUSED FROM THIS SUIT WITH PAYING ANY AMOUNT OF MONIES.

Disclosure 3 of 3

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: HUGH GEE & CO., INC.

Allegations: ACCOUNT RELATED-BREACH OF CONTRACT; SUITABILITY; ACCOUNT RELATED-NEGLIGENCE; BRCH OF FIDUCIARY DT

Product Type:

Alleged Damages: \$100,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #93-03766

Date Notice/Process Served: 09/29/1993



Arbitration Pending? No
Disposition: Settled
Disposition Date: 07/27/1994
Disposition Detail: CASE IS CLOSED, SETTLED
 Not Provided

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: HUGH GEE & CO., INC.

Allegations: CLAIMANT HAS MADE CLAIMS AGAINST HUGH GEE & CO. INC. AND APPLICANT IN CONNECTION WITH HER ACCOUNTS. THE CLAIMS AGAINST APPLICANT ALLEGE UNSUITABLE INVESTMENTS, BREACH OF FIDUCIARY DUTY, FRAUD, NEGLIGENCE AND CHURNING. CLAIMANT REQUESTS RESCISSION OF A LIMITED PARTNERSHIP INVESTMENT (COST \$60,000) AND COMPENSATION FOR ALLEGED LOSS IN PORTFOLIO VALUE OF AT LEAST \$100,000, INTEREST AND COSTS.

Product Type: Other
Other Product Type(s): MANAGED STOCK ACCOUNT
Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 06/01/1994
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 06/01/1995

Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 93-03766

Date Notice/Process Served: 06/01/1994

Arbitration Pending? No
Disposition: Settled
Disposition Date: 06/01/1995

Monetary Compensation Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Broker Statement TERRENCE GEE WAS NAMED IN SUIT BECAUSE HE WORKED FOR HUGH GEE & COMPANY. CLAIMANT WON \$25,000.00 FROM HUGH GEE & COMPANY. AND TERRENCE GEE WAS EXCUSED FROM CASE AND DID NOT



PAY ANYTHING.



End of Report

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