



IAPD Report

HONG ANH MCGILL

CRD# 2075513

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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

HONG ANH MCGILL (CRD# 2075513)

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 **01/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	09/24/2025
IA	LPL FINANCIAL LLC	CRD# 6413	09/24/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	OPPENHEIMER & CO. INC.	249	VIENNA, VA	05/09/2023 - 09/26/2025
IA	OPPENHEIMER & CO. INC.	249	VIENNA, VA	05/09/2023 - 09/26/2025
IA	TRUIST ADVISORY SERVICES, INC.	283390	ASHBURN, VA	10/28/2016 - 03/31/2023

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	4
Termination	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 **8** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

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	09/24/2025
B	FINRA	General Securities Representative	Approved	09/24/2025
B	FINRA	General Securities Sales Supervisor	Approved	09/24/2025
B	Alabama	Agent	Approved	09/30/2025
B	Connecticut	Agent	Approved	09/25/2025
B	Florida	Agent	Approved	09/24/2025
B	Maryland	Agent	Approved	09/24/2025
B	North Carolina	Agent	Approved	09/24/2025
IA	North Carolina	Investment Adviser Representative	Approved	01/14/2026
B	Pennsylvania	Agent	Approved	09/24/2025
B	Texas	Agent	Approved	09/24/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	09/25/2025
B	Virginia	Agent	Approved	09/24/2025



Qualifications

Regulator	Registration	Status	Date
IA Virginia	Investment Adviser Representative	Approved	09/24/2025

Branch Office Locations

LPL FINANCIAL LLC
4860 COX RD STE 200 #216
GLEN ALLEN, VA 23060

LPL FINANCIAL LLC
COROLLA, NC







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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Principal Examination (S24)	Series 24	08/09/1996
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	11/23/1993

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	10/12/2005
 Futures Managed Funds Examination (S31)	Series 31	07/15/2005
 General Securities Representative Examination (S7)	Series 7	07/11/1990

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/30/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/07/1990



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	05/09/2023 - 09/26/2025	OPPENHEIMER & CO. INC.	CRD# 249	VIENNA, VA
IA	05/09/2023 - 09/26/2025	OPPENHEIMER & CO. INC.	CRD# 249	VIENNA, VA
IA	10/28/2016 - 03/31/2023	TRUIST ADVISORY SERVICES, INC.	CRD# 283390	ASHBURN, VA
B	10/28/2016 - 03/31/2023	TRUIST INVESTMENT SERVICES, INC.	CRD# 17499	ASHBURN, VA
IA	11/15/2016 - 12/31/2016	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	ASHBURN, VA
B	09/11/2009 - 10/31/2016	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	LEESBURG, VA
IA	09/11/2009 - 10/31/2016	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	LEESBURG, VA
B	12/01/2009 - 11/23/2010	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	06/01/2009 - 09/28/2009	MORGAN STANLEY SMITH BARNEY	CRD# 149777	LEESBURG, VA
IA	06/01/2009 - 09/28/2009	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	LEESBURG, VA
IA	08/23/2004 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	LEESBURG, VA
B	08/20/2004 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	LEESBURG, VA
IA	07/16/2001 - 09/07/2004	LEGG MASON WOOD WALKER INC	CRD# 6555	WASHINGTON, DC
B	06/04/1999 - 09/07/2004	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	05/21/1992 - 06/18/1999	OLDE DISCOUNT CORPORATION	CRD# 5979	DETROIT, MI
B	07/12/1990 - 11/30/1993	VANDERBILT SECURITIES, INC.	CRD# 14280	
B	05/29/1991 - 05/15/1992	J. W. GANT & ASSOCIATES, INC.	CRD# 7963	



Registration & Employment History

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
09/2025 - Present	LPL Financial LLC	Registered Representative	Y	Glen Allen, VA, United States
05/2023 - 09/2025	OPPENHEIMER & CO. INC.	FINANCIAL ADVISOR	Y	VIENNA, VA, United States
10/2016 - 03/2023	SUNTRUST ADVISORY SERVICES, INC	ADVISOR	Y	ATLANTA, GA, United States
10/2016 - 03/2023	SUNTRUST INVESTMENT SERVICES	FINANCIAL ADVISOR	Y	ATLANTA, GA, United States
09/2009 - 10/2016	AMERIPRISE FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	LEESBURG, VA, 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.

- 09/2025 - Real Estate Rental - Real Estate Rental - Investment Related - 1 Hrs/Mth - 0 Hrs During Trading - Corolla NC 27927 - OBA Start Date: 06/01/2001
- 09/2025 - McGill Investments LLC - Business Entity For Tax/Investment Purposes Only - Not Investment Related - 0 Hrs/Mth - 0 Hrs During Trading - Leesburg VA 20176 - OBA Start Date: 01/01/2021



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	4
Termination	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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Truist Investment Services, Inc.
Allegations:	Client claims he suffered heavy losses due to RR's alleged lack of knowledge.
Product Type:	Mutual Fund
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	alleged damages appear to be greater than \$5,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	05/12/2023
Complaint Pending?	No
Status:	Denied
Status Date:	07/12/2023
Settlement Amount:	



Individual Contribution

Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Truist Investment Services, Inc.

Allegations: Client claims he suffered heavy losses due to RR's alleged lack of knowledge.

Product Type: Mutual Fund

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Alleged damages appear to be greater than \$5,000.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/12/2023

Complaint Pending? No

Status: Denied

Status Date: 07/12/2023

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SUNTRUST INVESTMENT SERVICES, INC.

Allegations: Client alleges the fixed income investments purchased in December 2019 were misrepresented as conservative investments.

Product Type: CD
Debt-Corporate

Alleged Damages: \$7,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information



Date Complaint Received: 01/13/2020

Complaint Pending? No

Status: Denied

Status Date: 02/18/2020

Settlement Amount:

Individual Contribution Amount:

Broker Statement

Client disappointed about results for FDIC brokered CD and bond fund purchases as reflected on his account statement. As a result, he questioned the description of the investments as being conservative. After explaining the statement valuation for the investments the client was satisfied.

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: TRUIST INVESTMENT SERVICES, INC.

Allegations: Customer complaint regarding poor recommendation of short term bond product and losses occurred.

Product Type: Mutual Fund

Alleged Damages: \$25,117.78

Alleged Damages Amount Explanation (if amount not exact): No specific compensation requested by customer losses exceed \$5000

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 03/23/2022

Complaint Pending? No

Status: Settled

Status Date: 07/07/2022

Settlement Amount: \$10,489.00

Individual Contribution Amount: \$2,500.00

Broker Statement

The client invested in a ultra-short duration income fund as an investment that could potentially earn more than a money market fund. The interest rate environment became unfavorable and client held for very short time period.

Disclosure 4 of 4

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: OLDE DISCOUNT CORPORATION

Allegations: BREACH OF FIDUCIARY DUTY AND FAILURE TO INFORM CUSTOMER THAT PRINCE GEORGES COUNTY MD HOSPITAL BONDS 6.375% DUE 01/01/2003, PURCHASED ON 03/12/1998 WERE NOT AN OBLIGATION OF COUNTY AND RATING HAD BEEN DOWNGRADED IN NOVEMBER 1996. DOES NOT ALLEGE DAMAGE AMOUNT. SEEKING FULL RESTITUTION. PURCHASED 30 BONDS @ \$103.179/BOND. BID AS OF 8/13/2000 APPROXIMATELY \$11.46/BOND.

Product Type: Debt - Municipal

Alleged Damages: \$27,900.00

Customer Complaint Information

Date Complaint Received: 07/17/2000

Complaint Pending? No

Status: Settled

Status Date: 11/21/2000

Settlement Amount: \$20,423.62

Individual Contribution Amount: \$0.00

Firm Statement THE ALLEGATIONS OF BREACH OF FIDUCIARY DUTY AND FAILURE TO INFORM STEM FROM ADVERSE DEVELOPMENTS REGARDING PRINCE GEORGES COUNTY MD HOSPITAL BONDS WHICH OCCURRED AFTER THE CUSTOMER'S PURCHASE. THE CUSTOMER ACKNOWLEDGES IN HIS CORRESPONDENCE HIS AWARENESS OF THE SECURITY'S DECLINE IN VALUE. THE FIRM SETTLED THIS MATTER AS A RESULT OF INACCURATE PRICING RECEIVED FROM AN OUTSIDE VENDOR AND NOT AS A RESULT OF ANY FINDINGS REGARDING MR. MCGILL. MR. MCGILL DID NOT PARTICIPATE IN THE DECISION TO SETTLE. HE WAS NOT ASKED TO, AND DID NOT CONTRIBUTE TO THE SETTLEMENT.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OLDE DISCOUNT CORPORATION

Allegations: BREACH OF FIDUCIARY DUTY AND FAILURE TO INFORM CUSTOMER THAT PRINCE GEORGES COUNTY MD HOSPITAL BONDS 6.375% DUE 01/01/2003, PURCHASED ON 03/12/98 WERE NOT AN OBLIGATION OF COUNTY AND RATING HAD BEEN DOWNGRADED IN NOVEMBER 1996. DOES NOT ALLEGE DAMAGE AMOUNT. SEEKING FULL RESTITUTION. PURCHASED 30 BONDS @103.179/BOND. BID AS OF 08/13/00 APPROXIMATELY \$11.46/BOND.

Product Type: Debt - Municipal

Alleged Damages: \$27,900.00

Customer Complaint Information

Date Complaint Received: 07/17/2000

Complaint Pending? No



Status: Settled
Status Date: 11/21/2000
Settlement Amount: \$20,423.62
Individual Contribution Amount: \$0.00

Broker Statement

I SOLICITED FOR THE CLIENT TO PURCHASE 30M OF P.G. COUNTY HOSPITAL REVENUE BOND ON MARCH 12, 1998. I DISCUSSED WITH THE CLIENT THE RATING OF THE BOND BBB, WHICH WAS INVESTMENT GRADE BUT AT THE LOW END OF THE INVESTMENT GRADE SCALE. WE THEN DISCUSSED THE REASON FOR THE LOW RATING I.E. LOCATION OF THE FACILITY IN A LOWER INCOME AREA AND HIGHER PERCENTAGE OF MEDICAID PATIENTS ETC... WE ALSO DISCUSSED THE REASON THAT OUR BOND DESK FELT IT WAS PURDENT INVESTMENT I.E. DEBT COVERAGE, THE NEED FOR THIS FACILITY IN THAT GEOGRAPHIC AREA, AVERAGE EMTY BEDS ETC.. IT WAS VERY CLEAR THIS WAS A LOW GRADE MD MUNICIPAL BOND BECAUSE AS THE NAME SUGGESTED I WAS BACKED BY THE REVNUUE OF THIS SPECIFIC HOSPITAL. THE CONFIRMATION ALSO DISCLOSED THE RATING AND THE HOSPITAL REVENUE NATURE OF THIS BOND. I WAS NEVER INFORMED OF THE PREVIOUS DOWNGRADE IN NOVEMBER 1996, SO I NEVER DISCUSSED THAT WITH THE CUSTOMER. THIS CUSTOMER HAD BOUGHT MUNICIPAL BONDS AND OTHER FIXED INCOME PRODUCTS FROM ME IN THE PAST SUCH AS CMO'S, PREFERRED STOCS AND CORPORATE BONDS, HE WAS WELL AWARE OF HOW AND WHY BONDS ARE RATED AND BACKED. AFTER THE BONDS WERE DOWNGRADED, I NOTIFIED THE CUSTOMER IMMEDIATELY. I KNOW I DID NOTHING WRONG IN THIS CASE, IT IS JUST A MATTER OF THE BONDS DEFAULTED, THE CUSTOMER LOST MONEY AND WANTS SOMEONE TO BLAME AND GIVE HIM MONEY BACK.

THE ALLEGATIONS OF BREACH OF FIDUCIARY DUTY AND FAILURE TO INFORM STEM FROM ADVERSE DEVELOPMENTS REGARDING PRINCE GEORGES COUNTY MD HOSPITAL BONDS WHICH OCCURRED AFTER THE CUSTOMER'S PURCHASE. THE CUSTOMER ACKNOWLEDGES IN HIS CORRESPONDENCE HIS AWARENESS OF THE SECURITY'S DECLINE IN VALUE. OLDE DISCOUNT CORPORATION SETTLED THIS MATTER AS A RESULT OF INACCURATE PRICING RECEIVED FROM AN OUTSIDE VENDOR AND NOT AS A RESULT OF ANY FINDINGS REGARDING MR. MCGILL. MR. MCGILL DID NOT PARTICIPATE IN THE DECISION TO SETTLE. HE WAS NOT ASKED TO, AND DID NOT CONTRIBUTE TO THE SETTLEMENT.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: TRUIST INVESTMENT SERVICES, INC.
Termination Type: Discharged
Termination Date: 03/06/2023
Allegations: Mr. McGill was terminated after allegations that he violated Truist's Policy and Procedures requiring client confirmation before funds are transferred to third parties.
Product Type: Banking Products (other than CDs)

Reporting Source: Individual
Firm Name: TRUIST INVESTMENT SERVICES, INC.
Termination Type: Discharged
Termination Date: 03/06/2023
Allegations: Violation of Truist internal policy procedure.
Product Type: No Product

Broker Statement I approved a client money movement request without speaking to client directly because I was told the client contacted the Premier banker to request the money and my assistant got back a signed wire authorization form signed by the client. I was terminated with no earning 11 months after the event in April of 2022. I also never received any training on processing money movement requests.



End of Report

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