IAPD Report

EDWARD THOMAS HILL

CRD# 2262864

Section Title	Page(s)

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

EDWARD THOMAS HILL (CRD# 2262864)

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 **05/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	03/05/2013
IA	WELLS FARGO ADVISORS	CRD# 11025	05/06/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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	MORGAN STANLEY	149777	KINGSTON, NY	06/01/2009 - 03/19/2013
B	CITIGROUP GLOBAL MARKETS INC.	7059	KINGSTON, NY	06/06/1996 - 06/01/2009
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	09/10/1992 - 06/04/1996

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
Regulatory Event	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 **21** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS**

Main Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103-2205

Firm ID#: 11025

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/05/2013
B	FINRA	General Securities Principal	Approved	06/04/2013
B	California	Agent	Approved	03/05/2013
B	Colorado	Agent	Approved	03/05/2013
B	Connecticut	Agent	Approved	03/05/2013
B	Delaware	Agent	Approved	05/18/2015
B	Florida	Agent	Approved	03/05/2013
B	Georgia	Agent	Approved	03/06/2013
B	Illinois	Agent	Approved	03/05/2013
B	Maryland	Agent	Approved	03/05/2013
B	Massachusetts	Agent	Approved	03/05/2013
B	Michigan	Agent	Approved	03/06/2013
B	Missouri	Agent	Approved	03/05/2013

Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	06/27/2023
B	New Jersey	Agent	Approved	03/05/2013
IA	New Jersey	Investment Adviser Representative	Approved	05/06/2013
B	New York	Agent	Approved	03/05/2013
IA	New York	Investment Adviser Representative	Approved	08/27/2021
B	North Carolina	Agent	Approved	03/05/2013
B	Pennsylvania	Agent	Approved	03/05/2013
B	South Carolina	Agent	Approved	03/05/2013
B	Tennessee	Agent	Approved	03/05/2013
B	Texas	Agent	Approved	03/05/2013
IA	Texas	Investment Adviser Representative	Approved	05/06/2013
B	Vermont	Agent	Approved	03/05/2013
B	Virginia	Agent	Approved	03/05/2013

Branch Office Locations

WELLS FARGO ADVISORS
63 HURLEY AVE
[SATELLITE]
KINGSTON, NY 12401

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	06/03/2013

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	10/17/2003
B	General Securities Representative Examination (S7)	Series 7	09/08/1992

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/01/2013
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/18/1992

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	06/01/2009 - 03/19/2013	MORGAN STANLEY	CRD# 149777	KINGSTON, NY
B	06/06/1996 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	KINGSTON, NY
B	09/10/1992 - 06/04/1996	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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
03/2013 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	KINGSTON, NY, 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.

EDWARD HILL ENTERPRISES, INC, NOT INV RELATED, PORT EVAN, NY, VICE PRESIDENT/MANAGER, START: 1996, 1 HOUR PER MONTH, 100% OWNED BY PARENTS, ACTIVNG AS AN OFFICE MANAGER FOR FAMILY REAL ESTATE BUSINESS.|
TRUSTEE FOR FATHER'S TRUST (HILL FAMILY LIFE INSURANCE TRUST); INVESTMENT RELATED; KINGSTON, NY; START DATE 3/2013; LESS THAN 1 HR PER MONTH; 0 HRS DURING TRADING.|
JOED ENTERPRISES, INC - INVESTMENT RELATED - KINGSTON, NY; 50% OWNER WITH BROTHER. START: 2001; 2 HRS PER MONTH/0 DURING TRADING. DUTIES: ENSURES PROPER TAX FILINGS.|
ED TOM ENTERPRISES LLC, NOT INV RELATED, KINGSTON, NY, 50% OWNER, START: 2003, LESS THAN 1 HOUR PER MONTH.|
BENEDICTINE HEALTH FOUNDATION, INV RELATED, KINGSTON, NY, FINANCE COMMITTEE MEMBER, START: 03/01/2016, 1 HR/MONTH, 0 HRS DURING TRADING, MANAGE FINANCES OF THE FOUNDATION.|
MELTZER & HILL WEALTH ADVISORY LLC, INV RELATED, KINGSTON, NY, 50% OWNERSHIP, START 3/1/2013, 15 HOURS PER MONTH, 5 HOURS DURING TRADING, FINET PRACTICE.|
TRUSTEE FOR MELTZER HILL WEALTH ADVISORY LLC 401K, INV RELATED, KINGSTON, NY, START: 3/1/2013, 15 HRS/MONTH, 5 HRS DURING TRADING, FINET PRACTICE 401K.|
HILL WEALTH MGMT INC; INV RELATED; KINGSTON, NY; START DATE 10/1/2023; 5 HOURS DURING TRADING; 0 DURING TRADING; FINET DEPOSIT ACCT.|
PRINCETON HARRIMAN INSURANCE SOLUTIONS, INVT RELATED, SARASOTA, FL, FINANCIAL ADVISOR, START DATE 12/1/2024, 8 HRS PER MONTH AND DURING TRADING, FOR INSURANCE BUSINESS.|
ESTATE OF FATHER; INV RELATED; KINGSTON, NY; CO-EXECUTOR; START DATE 05/18/2026; 3 HOURS PER MONTH; 3 HOURS DURING TRADING

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*.
  - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - o 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*.
  - o 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.
  - o 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.
  - o 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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	08/07/2014
Docket/Case Number:	2013036393901
Employing firm when activity occurred which led to the regulatory action:	CITIGROUP GLOBAL MARKETS INC. / MORGAN STANLEY
Product Type:	No Product
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, HILL CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE REMOVED DOCUMENTS REGARDING APPROXIMATELY 46 CUSTOMERS THAT CONTAINED NONPUBLIC PERSONAL INFORMATION FROM HIS MEMBER FIRM, IN ANTICIPATION OF HIS MOVE TO A NEW FIRM. THE FINDINGS STATED THAT THIS CONDUCT WAS NOT IN COMPLIANCE WITH SEC REGULATION S-P OR THE FIRM'S WRITTEN SUPERVISORY PROCEDURES, WHICH INDICATED ITS EMPLOYEES, MUST NOT TAKE CONFIDENTIAL INFORMATION WHEN LEAVING THE FIRM. HILL TRANSPORTED THE DOCUMENTS FROM THE OFFICES OF THE FIRM IN HIS VEHICLE AND STORED THE NONPUBLIC CUSTOMER INFORMATION AT ISSUE IN HIS HOME AND THEN AT A LOCKED PERSONAL STORAGE FACILITY, THEREBY PLACING THE RECORDS AT RISK. THE FIRM RECOVERED THE CLIENT DOCUMENTS FROM HILL.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	08/07/2014
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? **(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?** **(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**	No

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?	
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	08/15/2014
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	FINE PAID IN FULL ON AUGUST 15, 2014.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	08/07/2014
Docket/Case Number:	2013036393901
Employing firm when activity occurred which led to the regulatory action:	CITIGROUP GLOBAL MARKETS INC. / MORGAN STANLEY
Product Type:	No Product
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, HILL CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IN ANTICIPATION OF HIS MOVE TO A NEW FIRM, HE REMOVED DOCUMENTS REGARDING APPROXIMATELY 46 CUSTOMERS THAT CONTAINED NONPUBLIC PERSONAL

	INFORMATION FROM HIS MEMBER FIRM, AND THIS CONDUCT WAS NOT IN COMPLIANCE WITH SEC REGULATION S-P OR THE FIRM'S WRITTEN SUPERVISORY PROCEDURES, WHICH INDICATED ITS EMPLOYEES MUST NOT TAKE CONFIDENTIAL INFORMATION WHEN LEAVING THE FIRM. THE FINDINGS STATED THAT HILL TRANSPORTED THE DOCUMENTS FROM THE OFFICES OF THE FIRM IN HIS VEHICLE AND STORED THE NONPUBLIC CUSTOMER INFORMATION AT ISSUE IN HIS HOME AND THEN AT A LOCKED PERSONAL STORAGE FACILITY, THEREBY PLACING THE RECORDS AT RISK. SUBSEQUENTLY, THE FIRM RECOVERED THE CLIENT DOCUMENTS FROM HILL.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	08/07/2014
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	08/12/2014
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	WHEN I WAS LEAVING MY PREVIOUS EMPLOYER, I TOOK WITH ME A SMALL NUMBER OF FILES WHICH I HAD INDEPENDENTLY MAINTAINED ON SOME OF MY CLIENTS (INCLUDING MANY RELATIVES). THIS WAS A MISGUIDED ATTEMPT TO HELP CLIENTS FOLLOW ME TO MY NEW FIRM. BECAUSE I WAS AN EMPLOYEE OF MORGAN STANLEY (MS) AT THE TIME I CREATED THE FILES, THEY WERE THE PROPERTY OF MS. WHEN I WAS INFORMED OF THAT FACT, I IMMEDIATELY RETURNED ALL OF THE FILES. THE FILES WERE ALWAYS PROPERLY SECURED WHILE IN MY POSSESSION.

End of Report

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