



IAPD Report

HECTOR NOE HINOJOSA

CRD# 2387082

| <u>Section Title</u> | <u>Page(s)</u> |
|-------------------------------------|-----------------------|
| Report Summary | 1 |
| Qualifications | 2 - 3 |
| Registration and Employment History | 4 - 5 |
| Disclosure Information | 6 |

i When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.
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

HECTOR NOE HINOJOSA (CRD# 2387082)

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 **03/28/2022**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|----|-----------------------------------|-------------|------------------|
| IA | SWAN DFW FINANCIAL SOLUTIONS, LLC | CRD# 173964 | 01/01/2015 |

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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 | PLANMEMBER SECURITIES CORPORATION | 11869 | FORT WORTH, TX | 10/07/2013 - 12/17/2014 |
| IA | VERITRUST FINANCIAL, LLC | 106594 | FORT WORTH, TX | 04/27/2011 - 10/07/2013 |
| IA | NEW ENGLAND SECURITIES CORPORATION | 615 | DALLAS, TX | 06/20/2008 - 01/06/2011 |

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 |
| 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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **SWAN DFW FINANCIAL SOLUTIONS, LLC**
Main Address: FORT WORTH, TX
Firm ID#: 173964

| | Regulator | Registration | Status | Date |
|-----------|-----------|-----------------------------------|----------|------------|
| IA | Louisiana | Investment Adviser Representative | Approved | 03/28/2022 |
| IA | Texas | Investment Adviser Representative | Approved | 01/01/2015 |

Branch Office Locations

SWAN DFW FINANCIAL SOLUTIONS, LLC
FORT WORTH, TX



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 0 principal/supervisory exams, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

No information reported.

General Industry/Product Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

No information reported.

State Securities Law Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | | |
|--------------------|--|-----------|------------|
| IA B | Uniform Combined State Law Examination (S66) | Series 66 | 10/30/2006 |
|--------------------|--|-----------|------------|

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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 | 10/07/2013 - 12/17/2014 | PLANMEMBER SECURITIES CORPORATION | CRD# 11869 | FORT WORTH, TX |
| IA | 04/27/2011 - 10/07/2013 | VERITRUST FINANCIAL, LLC | CRD# 106594 | FORT WORTH, TX |
| IA | 06/20/2008 - 01/06/2011 | NEW ENGLAND SECURITIES CORPORATION | CRD# 615 | DALLAS, TX |
| IA | 07/13/2006 - 06/06/2008 | BANC OF AMERICA INVESTMENT SERVICES, INC. | CRD# 16361 | FORT WORTH, TX |
| IA | 12/06/2002 - 05/03/2005 | TERRA FINANCIAL PLANNING GROUP LTD | CRD# 105644 | FORT WORTH, TX |
| IA | 05/13/2002 - 08/27/2002 | TAG CAPITAL MANAGEMENT, INC. | CRD# 116356 | ARLINGTON, TX |

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 |
|-------------------|-----------------------------------|---------------------|--------------------|-------------------------------|
| 11/2014 - Present | SWAN DFW FINANCIAL SOLUTIONS, LLC | MANAGING MEMBER | Y | FORT WORTH, TX, United States |
| 02/2014 - Present | FINANCIAL EDUCATION FOR AMERICA | EXECUTIVE DIRECTOR; | Y | FORT WORTH, TX, United States |
| 04/2011 - Present | GENESIS ALLIANCE | BOARD MEMBER | N | DALLAS, TX, United States |
| 10/2007 - Present | FIRST TEE OF FORT WORTH | BOARD MEMBER | N | FORT WORTH, TX, United States |
| 05/2003 - Present | HINOJOSA AND ASSOCIATES | OWNER/AGENT | Y | FORT WORTH, 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.

1. HINOJOSA & ASSOCIATES-7416 MARSARIE COURT, FT. WORTH, TX 76137; INVESTMENT RELATED; FINANCIAL/INSURANCE SALES & SVCS; OWNER/AGENT; START DATE 5/03; 160 HRS/MNTH; 120 HRS/MNTH DURING TRADING. 2. FIRST TEE OF FT. WORTH-1900 ROCKWOOD PARK DR N., FT. WORTH, TX 76114; NONINVESTMENT



Registration & Employment History



OTHER BUSINESS ACTIVITIES

RELATED; JR. GOLF INSTRUCTION(NONPROFIT ORGANIZATION); BOARD MEMBER; START DATE 10/07; 4 HRS/MNTH; 0 HRS/MNTH DURING TRADING. 3.FINANCIAL EDUCATION FOR AMERICA STARTS TODAY (FEAST);7416 MARSARIE CT FORT WORTH, TX 76137;2/1/2014FOUNDER- EXECUTIVE DIRECTOR; INVESTMENT RELATED;NONPROFIT ORGANIZATION; SPEAKER/PRESENTOR APPROX. NUM.OF HRS/MTH TO THIS BUS:4 NUM OF HRS/MTH BUS DURING TRADING HRS:4 ; . 4. GENESIS ALLIANCE-10805 WALNUT HILL LANE, DALLAS, TX 75238; NONINVESTMENT RELATED; BIBLE STUDIES; BOARD MEMBER, BIBLE STUDY TRAINER; START DATE 4/11; 40 HRS/MNTH; 5 HRS/MNTH DURING TRADING. (5)MINISTERIO NEXT GENERATION; 2001 ROSS AVE, SUITE 2000 DALLAS TX 75201; BOARD OF DIRECTORS; MINISTRY WORK; START 5/6/2014; 2 HRS/MO; 2 HRS/MO DURING TRADING; NIR



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 |
| 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 1

| | |
|--|---|
| Reporting Source: | Firm |
| Employing firm when activities occurred which led to the complaint: | NEW ENGLAND SECURITIES |
| Allegations: | CUSTOMER ALLEGED THE REPRESENTATIVE MISREPRESENTED THE VARIABLE LIFE INSURANCE POLICY, PURCHASED IN OCTOBER 2008, AS A VEHICLE FOR A RETIREMENT PLAN. |
| Product Type: | Insurance |
| Alleged Damages: | \$0.00 |
| Alleged Damages Amount Explanation (if amount not exact): | ALTHOUGH CUSTOMER HAS NOT ALLEGED SPECIFIC COMPENSATORY DAMAGES, IT IS BELIEVED DAMAGES WOULD BE IN EXCESS OF THE REPORTING THRESHOLD. |
| 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: | 12/26/2012 |
| Complaint Pending? | No |
| Status: | Denied |



Status Date: 03/01/2013

Settlement Amount:

Individual Contribution Amount:

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEW ENGLAND FINANCIAL

Allegations: COMPLAINANT ALLEGES THAT THE REPRESENTATIVE MADE A UNSUITABLE SALE TO JMR ENTERPRISES, FOR THE PURPOSE OF PROVIDING A RETIREMENT VEHICLE (401K) FOR THE EMPLOYEES OF JMR ENTERPRISES.

Product Type: Annuity-Variable

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): NO AMOUNT WAS SPECIFIED IN THE COMPLAINT, BUT IS BELIEVED TO BE GREATER THAN THE \$5,000.00 THRESHOLD.

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: 01/03/2013

Complaint Pending? No

Status: Denied

Status Date: 03/01/2013

Settlement Amount:

Individual Contribution Amount:



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: NEW ENGLAND SECURITIES
Termination Type: Voluntary Resignation
Termination Date: 12/10/2010
Allegations: REGISTERED REPRESENTATIVE RESIGNED AFTER ADMITTING TO THE SOLICITATION OF AN UNAPPROVED NON-SECURITIES RELATED INVESTMENT.
Product Type: Other: NON-SECURITY RELATED INVESTMENT

Reporting Source: Individual
Firm Name: NEW ENGLAND FINANCIAL
Termination Type: Voluntary Resignation
Termination Date: 12/10/2010
Allegations: REGISTERED REPRESENTATIVE RESIGNED AFTER ADMITTING TO THE SOLICITATION OF AN UNAPPROVED NON-SECURITIES RELATED INVESTMENT.
Product Type: Other: NON-SECURITIES RELATED INVESTMENT

Broker Statement I DID NOT DO ANYTHING WRONG. I DID NOT VIOLATE ANY RULES OR CODE OF CONDUCT. I DID NOT ADMIT TO DOING ANYTHING WRONG. I INTRODUCED A MINORITY BUSINESS OWNER TRYING TO WIN A BID AT DFW AIRPORT TO A CONSULTANT WHO IS VERY FAMILIAR WITH PROCESS. THE BUSINESS DID NOT GO, THERE WAS NEVER ANY MONEY EXCHANGED OR TALKED ABOUT.



End of Report

This page is intentionally left blank.