



IAPD Report

WILLIAM FLOYD HILL

CRD# 2399670

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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

WILLIAM FLOYD HILL (CRD# 2399670)

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 **12/19/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	03/29/2010
IA	AIM CAPITAL	CRD# 165183	10/04/2012

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	LPL FINANCIAL LLC	6413	SCOTTSDALE, AZ	05/26/2010 - 12/31/2012
B	CHARLES SCHWAB & CO., INC.	5393	SCOTTSDALE, AZ	02/27/1997 - 03/17/2010
B	EDWARD D. JONES & CO., L.P.	250	ST. LOUIS, MO	08/22/1994 - 04/25/1995

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 6 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 Representative	Approved	03/29/2010
B FINRA	General Securities Sales Supervisor	Approved	03/29/2010
B Arizona	Agent	Approved	03/29/2010
B California	Agent	Approved	04/09/2010
B Colorado	Agent	Approved	05/21/2013
B Massachusetts	Agent	Approved	06/03/2021
B Washington	Agent	Approved	01/03/2023

Branch Office Locations

LPL FINANCIAL LLC
7337 E DOUBLETREE RANCH RD STE 195
SCOTTSDALE, AZ 85258

LPL FINANCIAL LLC
SCOTTSDALE, AZ

Employment 2 of 2

Firm Name: **AIM CAPITAL**
Main Address: 7337 E DOUBLETREE RANCH ROAD
SUITE 195
SCOTTSDALE, AZ 85258
Firm ID#: 165183



Qualifications

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	10/09/2012
IA Texas	Investment Adviser Representative	Restricted Approval	10/04/2012

Branch Office Locations

AIM CAPITAL
7337 E DOUBLETREE RANCH ROAD
SUITE 195
SCOTTSDALE, AZ 85258



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	09/28/1999
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	09/28/1999

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	08/19/1994

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	08/23/1994

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	05/26/2010 - 12/31/2012	LPL FINANCIAL LLC	CRD# 6413	SCOTTSDALE, AZ
B	02/27/1997 - 03/17/2010	CHARLES SCHWAB & CO., INC.	CRD# 5393	SCOTTSDALE, AZ
B	08/22/1994 - 04/25/1995	EDWARD D. JONES & CO., L.P.	CRD# 250	ST. LOUIS, MO

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
08/2012 - Present	AIM CAPITAL	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States
03/2010 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, 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.

- 03/29/10 - DBA THE HILL INVESTMENT GROUP.
- 09/11/2012: AIM CAPITAL / REGISTERED INVESTMENT ADVISOR / TIME SPENT 100% / SCOTTSDALE, AZ
- 09/04/2012: NOTARY / SCOTTSDALE, AZ
- 11/14/2012 - The American Institute for Advanced Investment Management - DBA: (Hybrid) AIM Capital - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA.
- 09/14/2021 - Agriculture - Not Investment Related - 100 Remington Ranch Rd, Red Lodge MT - Business Owner - Start Date: 10/01/2021 - 1 Hour Per Month/0 Hours During Securities - The property is agriculture land and produces hay for livestock.



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:	Firm
Employing firm when activities occurred which led to the complaint:	CHARLES SCHWAB & CO., INC.
Allegations:	CUSTOMER ALLEGES POOR ADVICE WITH REGARD TO UNSPECIFIED TRANSACTIONS.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$1,000,000.00
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:	06/10/2011
Complaint Pending?	No
Status:	Denied
Status Date:	06/20/2011
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00



Reporting Source: Individual

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

Allegations: CUSTOMER ALLEGES POOR ADVICE WITH REGARD TO UNSPECIFIED TRANSACTIONS.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$1,000,000.00

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: 06/10/2011

Complaint Pending? No

Status: Denied

Status Date: 06/20/2011

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THIS CLIENT'S ASSETS ARE AT A COMPANY I LEFT SIXTEEN MONTHS AGO. DUE TO THE FACT THAT I WAS REQUIRED TO SIGN A NON-SOLICITATION LETTER TO WORK FOR THIS COMPANY, I HAVE NOT SPOKEN TO, OR WORKED WITH THIS CLIENT FOR THE YEAR AND HALF PRECEDING HER COMPLAINT. I ORIGINALLY MET WITH THIS CLIENT A FEW YEARS AGO AFTER SHE FIRED HER ADVISOR FOR SELLING SOME STOCKS THAT SHE WAS GIVEN AND CAUSING HER A CAPITAL GAIN ISSUE. SHE WAS UPSET, AND SET EXPECTATIONS THAT HER LARGER POSITIONS WERE GIVEN TO HER FROM HER MOTHER, AND SHE DID NOT WANT TO SELL THEM. SHE WAS ALSO ADAMANT ABOUT NOT PAYING ANY CAPITAL GAINS TAXES. FOR THE FEW YEARS I WORKED WITH THIS CLIENT, WE MET SEVERAL TIMES A YEAR. I EXPLAINED TO HER MANY TIMES THE RISKS SHE WAS TAKING IN HER CONCENTRATED POSITIONS AND OVERALL MARKET EXPOSURE, AND MADE RECOMMENDATIONS TO HER TO REDUCE THAT RISK. SHE WOULD NOT DO IT. THIS WAS A NON-DISCRETIONARY ACCOUNT, AND THE FINAL DECISION TO IMPLEMENTING OUR RECOMMENDATIONS WERE UP TO THE CLIENT. I AGREE WITH SCHWAB'S CONCLUSION.

Disclosure 2 of 3

Reporting Source: Individual

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

Allegations: CUSTOMER ALLEGES MISREPRESENTATION REGARDING A MUTUAL FUND PURCHASED ON 7/5/07.

Product Type: Mutual Fund(s)



Alleged Damages: \$26,446.43

Customer Complaint Information

Date Complaint Received: 05/14/2008

Complaint Pending? No

Status: Denied

Status Date: 06/06/2008

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement THIS CLIENT WOULD MISS OUR SCHEDULED REVIEW MEETINGS, NOT RETURN PHONE CALLS, AND NOT IMPLEMENT OUR RECOMMENDATIONS. DUE TO THIS LACK OF ENGAGEMENT, IT WAS DIFFICULT TO HELP THIS CLIENT SUCCESSFULLY EXECUTE HER LONG TERM PLAN.

Disclosure 3 of 3

Reporting Source: Individual

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

Allegations: CUSTOMER ALLEGES MISREPRESENTATION REGARDING A MUTUAL FUND PURCHASE ON 3/28/07.

Product Type: Mutual Fund(s)

Alleged Damages: \$7,000.00

Customer Complaint Information

Date Complaint Received: 04/01/2008

Complaint Pending? No

Status: Settled

Status Date: 05/06/2008

Settlement Amount: \$5,000.00

Individual Contribution Amount: \$0.00

Broker Statement THE FIRM SETTLED THE COMPLAINT TO AVOID THE COST AND UNCERTAINTY OF LITIGATION, WITH NO ADMISSION OF WRONGDOING AND NO MONETARY CONTRIBUTION FROM THE REPRESENTATIVE. AT THE TIME THIS RECOMMENDATION WAS MADE IN A NON-MANAGED ACCOUNT, IT WAS APPROPRIATE BASED ON THE CLIENT'S GOALS, RISK TOLERANCE, AND TIME HORIZON. THIS CLIENT WAS RESPONSIBLE FOR MONITORING THEIR INVESTMENTS IN THEIR NON-MANAGED ACCOUNTS AND MAKE NECESSARY INVESTMENT CHANGES ON THEIR OWN VOLITION.



End of Report

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