



IAPD Report

NOOR SIRAJ AMIRALI

CRD# 3062220

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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

NOOR SIRAJ AMIRALI (CRD# 3062220)

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 **12/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	D.H. HILL SECURITIES, LLLP	CRD# 41528	06/03/2009
IA	D.H. HILL ADVISORS, INC.	CRD# 116324	09/23/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	WRP INVESTMENTS, INC.	7365	HOUSTON, TX	12/10/2008 - 02/20/2009
IA	WRP INVESTMENTS, INC.	7365	HOUSTON, TX	12/05/2008 - 12/05/2008
B	CHASE INVESTMENT SERVICES CORP.	25574	HOUSTON, TX	07/06/2005 - 11/07/2008

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	2
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 4 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **D.H. HILL SECURITIES, LLLP**
Main Address: 1543 GREEN OAK PLACE, SUITE 100
KINGWOOD, TX 77339
Firm ID#: 41528

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	06/03/2009
 FINRA	Invest. Co and Variable Contracts	Approved	06/03/2009
 Georgia	Agent	Approved	11/12/2020
 Illinois	Agent	Approved	02/07/2025
 Texas	Agent	Approved	09/23/2009

Branch Office Locations

SPRING, TX

Employment 2 of 2

Firm Name: **D.H. HILL ADVISORS, INC.**
Main Address: 1543 GREEN OAK PLACE
SUITE 100
KINGWOOD, TX 77339
Firm ID#: 116324

Regulator	Registration	Status	Date
 Louisiana	Investment Adviser Representative	Approved	04/08/2011
 Texas	Investment Adviser Representative	Approved	09/23/2009



Qualifications

Branch Office Locations

D.H. HILL ADVISORS, INC.
SPRING, 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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	07/29/1999
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/23/1998

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	02/12/2005
B Uniform Securities Agent State Law Examination (S63)	Series 63	07/10/1998

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
	12/10/2008 - 02/20/2009	WRP INVESTMENTS, INC.	CRD# 7365	HOUSTON, TX
	12/05/2008 - 12/05/2008	WRP INVESTMENTS, INC.	CRD# 7365	HOUSTON, TX
	07/06/2005 - 11/07/2008	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	HOUSTON, TX
	07/06/2005 - 11/07/2008	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	HOUSTON, TX
	02/14/2005 - 07/06/2005	BANC ONE SECURITIES CORPORATION	CRD# 16999	HOUSTON, TX
	05/26/1998 - 07/06/2005	BANC ONE SECURITIES CORPORATION	CRD# 16999	CHICAGO, IL

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
05/2009 - Present	D. H. HILL ADVISORS, INC.	ADVISOR	Y	HUMBLE, TX, United States
05/2009 - Present	D. H. HILL SECURITIES, LLP	BROKER	Y	HUMBLE, 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.

CUSTOMIZED FINANCIAL PLANNING, LLC-INACTIVE COMPANY/0 HRS.

A & K DEVELOPMENT, LLC, MEMBER, NON INVESTMENT RELATED, 1-2 HRS PER WEEK, Rental Property, Record Keeping only

INSURANCE LICENSE, Fixed, Life, Health, Investment Related, Agent
LICENSED WITH DH HILL ADVISORS, INC.



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
Regulatory Event	2
Customer Dispute	1
Termination	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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	05/14/2010
Docket/Case Number:	2008014608801
Employing firm when activity occurred which led to the regulatory action:	CHASE INVESTMENT SERVICES CORP.
Product Type:	No Product
Allegations:	NASD RULES 2110, 3110: AMIRALI PLACED CUSTOMER INITIALS AND SIGNATURES, AND INSERTED DATES ON ACCOUNT DOCUMENTS FOR CUSTOMERS, ALL WITHOUT THE PRIOR KNOWLEDGE OR AUTHORIZATION OF THE CUSTOMERS. AMIRALI THEN SUBMITTED THE ALTERED DOCUMENTS TO HIS MEMBER FIRM AS AUTHENTIC. THE VARIOUS ACTIONS WERE APPROVED BY THE CUSTOMERS, BUT THEY DID NOT AUTHORIZE AMIRALI TO SIGN THEIR INITIALS, SIGNATURES, INSERT DATES OR ALTER THE DOCUMENTS, AND BY CONDUCTING THESE ACTS AMIRALI CAUSED THE FIRM'S BOOKS AND RECORDS TO BE INACCURATE AND THEREFORE IN VIOLATION OF SECURITIES EXCHANGE ACT RULE 17A-3.
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?

Resolution Date: 05/14/2010

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

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



(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?

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL CAPACITIES

Duration: THREE MONTHS

Start Date: 06/07/2010

End Date: 09/06/2010

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: Yes

Date Paid by individual: 02/04/2011

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, AMIRALI CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR THREE MONTHS. THE SUSPENSION IS IN EFFECT FROM JUNE 7, 2010, THROUGH SEPTEMBER 6, 2010.

Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 05/14/2010



Docket/Case Number:	2008014608801
Employing firm when activity occurred which led to the regulatory action:	CHASE INVESTMENT SERVICES CORP.
Product Type:	No Product
Allegations:	NASD RULES 2110, 3110: AMIRALI PLACED CUSTOMER INITIALS AND SIGNATURES, AND INSERTED DATES ON ACCOUNT DOCUMENTS FOR CUSTOMERS, ALL WITHOUT THE PRIOR KNOWLEDGE OR AUTHORIZATION OF THE CUSTOMERS. AMIRALI THEN SUBMITTED THE ALTERED DOCUMENTS TO HIS MEMBER FIRM AS AUTHENTIC. THE VARIOUS ACTIONS WERE APPROVED BY THE CUSTOMERS, BUT THEY DID NOT AUTHORIZE AMIRALI TO SIGN THEIR INITIALS, SIGNATURES, INSERT DATES OR ALTER THE DOCUMENTS, AND BY CONDUCTING THESE ACTS AMIRALI CAUSED THE FIRM'S BOOKS AND RECORDS TO BE INACCURATE AND THEREFORE IN VIOLATION OF SECURITIES EXCHANGE ACT RULE 17A-3.
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:	05/14/2010
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	3 MONTHS
Start Date:	06/07/2010
End Date:	09/06/2010
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:	1ST INSTALLMENT @ 25% AND \$500 PER MO UNTIL PAID IN FULL
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

**Broker Statement**

WITHOUT ADMITTING OR DENYING THE FINDINGS, AMIRALI CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR THREE MONTHS. THE SUSPENSION IS IN EFFECT FROM JUNE 7, 2010, THROUGH SEPTEMBER 6, 2010.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	TEXAS
Sanction(s) Sought:	Suspension Undertaking
Date Initiated:	09/23/2009
Docket/Case Number:	IC09-SUS-22
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	CHASE INVESTMENT SERVICES CORP.
Product Type:	Other: FINANCIAL ADVISORY
Allegations:	DURING THE REGISTRATION PROCESS, THE STAFF OF THE TEXAS STATE SECURITIES BOARD DISCOVERED THAT FROM IN OR ABOUT 2005 TO IN OR ABOUT 2008, NOOR SIRAJ AMIRALI INITIALED FORMS ON BEHALF OF CUSTOMERS OF CHASE AND SUBMITTED SUCH FORMS TO CHASE, WHICH VIOLATED THE WRITTEN SUPERVISORY PROCEDURES OF THE FIRM.
Current Status:	Final
Resolution:	Order
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:	09/23/2009
Sanctions Ordered:	Suspension Other: UNDERTAKING, REPRIMAND
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	3 BUSINESS DAYS
Start Date:	09/23/2009
End Date:	09/28/2009
Regulator Statement	THE REGISTRATION OF NOOR SIRAJ AMIRALI IS HEREBY SUSPENDED FOR A PERIOD OF THREE DAYS FROM THE DATE THE ORDER WAS ENTERED BY THE SECURITIES COMMISSIONER. IN THE EVENT THAT THE



REGISTRATIONS OF NOOR SIRAJ AMIRALI IS TERMINATED BEFORE THE END OF THIS PERIOD, THE SUSPENSION PERIOD WILL BE TOLLED FROM THE DATE THAT THE REGISTRATIONS OF NOOR SIRAJ AMIRALI IS TERMINATED TO THE DATE THAT THE REGISTRATION OF NOOR SIRAJ AMIRALI IS AGAIN EFFECTIVE.

Reporting Source:	Individual
Regulatory Action Initiated By:	TEXAS STATE SECURITIES BOARD
Sanction(s) Sought:	Suspension Undertaking Other: UNDERTAKING, REPRIMAND
Date Initiated:	09/23/2009
Docket/Case Number:	IC09-SUS-22
Employing firm when activity occurred which led to the regulatory action:	CHASE INVESTMENT SERVICES CORP.
Product Type:	Other: FINANCIAL ADVISORY
Allegations:	DURING THE REGISTRATION PROCESS, THE STAFF OF THE TEXAS STATE SECURITIES BOARD DISCOVERED THAT FROM IN OR ABOUT 2005 TO IN OR ABOUT 2008, NOOR SIRAJ AMIRALI INITIALED FORMS ON BEHALF OF CUSTOMERS OF CHASE AND SUBMITTED SUCH FORMS TO CHASE, WHICH VIOLATED THE WRITTEN SUPERVISORY PROCEDURES OF THE FIRM.
Current Status:	Final
Resolution:	Order
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:	09/23/2009
Sanctions Ordered:	Suspension Other: UNDERTAKING, REPRIMAND
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	3 BUSINESS DAYS
Start Date:	09/23/2009
End Date:	09/28/2009
Broker Statement	THE REGISTRATION OF NOOR SIRAJ AMIRALI IS HEREBY SUSPENDED FOR A PERIOD OF THREE DAYS FROM THE DATE THE ORDER WAS ENTERED BY THE SECURITIES COMMISSIONER. IN THE EVENT THAT THE REGISTRATIONS OF NOOR SIRAJ AMIRALI IS TERMINATED BEFORE THE END OF THIS PERIOD, THE SUSPENSION PERIOD WILL BE TOLLED FROM



THE DATE THAT THE REGISTRATIONS OF NOOR SIRAJ AMIRALI IS TERMINATED TO THE DATE THAT THE REGISTRATION OF NOOR SIRAJ AMIRALI IS AGAIN EFFECTIVE. SUSPENSION HAS NOW ENDED AND NOOR SIRAJ AMIRALI WILL BE UNDER THE CLOSE SUPERVISION OF D. H. HILL ADVISORS, INC. AND D. H. HILL SECURITIES, LLP. BY COMPLIANCE SUPERVISOR, DAN H. HILL FOR A PERIOD OF 2 YEARS BEGINNING 09/29/2009. WRITTEN SUPERVISORY PROCEDURES WILL BE IN PLACE AND REVIEWED ON A REGULAR BASIS BY DAN H. HILL, COMPLIANCE SUPERVISOR.



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:	Individual
Employing firm when activities occurred which led to the complaint:	D.H. HILL SECURITIES, LLLP
Allegations:	Allegations include Breach of Contract, Violation of State Securities Statutes, Breach of Fiduciary Duty, Negligence, Misrepresentation, Unjust Enrichment, Failure to Supervise, Statutory Damages, and control Person Liability for products sold during May 2015.
Product Type:	Real Estate Security Other: BDC
Alleged Damages:	\$36,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	21-00803
Filing date of arbitration/CFTC reparation or civil litigation:	03/26/2021

Customer Complaint Information

Date Complaint Received:	04/01/2021
Complaint Pending?	No
Status:	Settled
Status Date:	06/16/2022
Settlement Amount:	\$14,999.00
Individual Contribution Amount:	\$12,000.00
Broker Statement	The Firm denies all allegations of wrongdoing in connection with this matter. All investments were completely suitable based on information provided by the client, and the material risks and features of the investments were fully and accurately disclosed to the client. The Firm made a business decision to resolve this matter in order to avoid the costs and distraction of further litigation.



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: CHASE INVESTMENT SERVICES CORPORATION
Termination Type: Discharged
Termination Date: 10/09/2008
Allegations: ON SEPTEMBER 24, 2008, CISC RECEIVED A REQUEST FROM FINRA INDICATING THAT THEY WERE IN RECEIPT OF AN ANONYMOUS TIP ALLEGING THAT MR. AMIRALI HAD PLACED CLIENT'S INITIALS ON MANAGED MONEY AND ANNUITY PAPERWORK. FINRA REQUESTED THE FIRM CONDUCT AN INTERNAL REVIEW AND RESPOND ACCORDINGLY. AN INVESTIGATION WAS CONDUCTED, AND MR. AMARILI ADMITTED THAT ON OCCASIONS HE DID SUPPLY CUSTOMERS' INITIALS TO CERTAIN DOCUMENTS HE HANDLED OR THAT WERE UNDER HIS SUPERVISION.
Product Type: No Product

Other Product Types:

Reporting Source: Individual
Firm Name: CHASE INVESTMENT SERVICES CORPORATION
Termination Type: Discharged
Termination Date: 10/09/2008
Allegations: ON SEPTEMBER 24, 2008, CISC RECEIVED A REQUEST FROM FINRA INDICATING THAT THEY WERE IN RECEIPT OF AN ANONYMOUS TIP ALLEGING THAT MR. AMIRALI HAD PLACED CLIENT'S INITIALS ON MANGED MONEY AND ANNUITY PAPERWORK. FINRA REQUESTED THE FIRM TO CONDUCT AN INTERNAL REVIEW AND RESPOND ACCORDINGLY. AN INVESTIGATION WAS CONDUCTED, AND MR. AMARILI ADMITTED THAT ON OCCASIONS HE DID SUPPLY CUSTOMER' INITALS TO CERTAIN DOCUMEENTS HE HANDLED OR THAT WERE UNDER HIS SUPERVISION
Product Type: No Product

Other Product Types:



End of Report

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