



IAPD Report

ROBERT MICHAEL DECHICK

CRD# 4152582

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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

ROBERT MICHAEL DECHICK (CRD# 4152582)

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 **10/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	D.H. HILL SECURITIES, LLLP	CRD# 41528	12/11/2009
IA	D.H. HILL ADVISORS, INC.	CRD# 116324	03/13/2012

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	BROKER DEALER FINANCIAL SERVICES CORP.	8073	CLERMONT, FL	12/12/2008 - 12/15/2009
B	SOUTHERN FARM BUREAU FUND DISTRIBUTOR, INC.	10194	JACKSON, MS	06/26/2000 - 11/13/2002

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
Customer Dispute	9









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	Invest. Co and Variable Contracts	Approved	12/11/2009
	FINRA	General Securities Representative	Approved	11/13/2013
	California	Agent	Approved	05/04/2021
	Florida	Agent	Approved	12/11/2009
	Georgia	Agent	Approved	02/22/2022
	North Carolina	Agent	Approved	11/29/2017


Branch Office Locations

1635 E. HWY 50 SUITE 103
CLERMONT, FL 34711

CLERMONT, FL

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
	Florida	Investment Adviser Representative	Approved	03/13/2012



Qualifications

Branch Office Locations

D.H. HILL ADVISORS, INC.
1635 E. HWY 50 SUITE 200-A
CLERMONT, FL 34711



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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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	03/31/2011
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/11/2008

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	01/14/2012



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	12/12/2008 - 12/15/2009	BROKER DEALER FINANCIAL SERVICES CORP.	CRD# 8073	CLERMONT, FL
B	06/26/2000 - 11/13/2002	SOUTHERN FARM BUREAU FUND DISTRIBUTOR, INC.	CRD# 10194	JACKSON, MS

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
12/2012 - Present	D.H. HILL ADVISORS INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	HUMBLE, TX, United States
12/2009 - Present	D.H. HILL INSURANCE SERVICES, INC.	INSURANCE AGENT	Y	HUMBLE, TX, United States
12/2009 - Present	D.H. HILL SECURITIES, LLLP	REGISTERED REPRESENTATIVE	Y	HUMBLE, TX, United States
07/2008 - Present	COURTL AND WALKER AGENCY	PARTNER	N	CLERMONT, FL, 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.) D.H. HILL ADVISORS, INC., INVESTMENT RELATED BUSINESS, 1543 Green Oak Place, STE. 100, INVESTMENT ADVISORY SERVICES, INVESTMENT ADVISOR REPRESENTATIVE, 01/2012, 40 HOURS PER MONTH, 2 HOURS DURING TRADING HOURS, PROVIDE SECURITIES ADVISORY SERVICES TO CLIENTS AND POTENTIAL CLIENTS.
- 2.) D.H. HILL SECURITIES, LLLP, INVESTMENT/SECURITIES RELATED BUSINESS, 1543 Green Oak Place, STE. 100, , REGISTERED REPRESENTATIVE, 12/2009, 120 HOURS PER MONTH, 8 HOURS DURING TRADING HOURS, PROVIDE SECURITIES PRODUCT/SERVICES TO CLIENTS AND POTENTIAL CLIENTS.
- 3.) D.H. HILL INSURANCE SERVICES, INC., INVESTMENT/INSURANCE RELATED BUSINESS. 1543 Green Oak Place, Ste 100, INVESTMENT ADVISORY SERVICES, INVESTMENT ADVISOR REPRESENTATIVE, 12/2009, 40 HOURS PER MONTH, 2 HOURS DURING TRADING HOURS, 20 HOURS PER MONTH, 1 HOUR DURING TRADING HOURS, PROVIDE INSURANCE PRODUCTS AND SERVICES TO CLIENTS AND POTENTIAL CLIENTS.
- 4.) Deferred Sales Trust, 1635 E. Hwy 50, Suite 103, Clermont FL, Investment Related, Start date 3/2017, Agent offering investment services to Trusts, 10 hours per month, 0 during trading hours
- 5.) J&B Acquisitions Group, LLC, 17428 Woodfair Dr., Clermont, FL, Not investment related, Start Date 05/2017, Officer/Owner, Rental Property, 0 hours per month, 0 hours per month during trading hours



Registration & Employment History



OTHER BUSINESS ACTIVITIES

6.)DBA Courtland Walker Financial Group under Ooofa, Inc., Insurance, Advisory, Securities business falls under Courtland Walker Financial



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	1
Customer Dispute	9

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:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	01/11/2016
Docket/Case Number:	58001-S
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	D.H. Hill
Product Type:	No Product
Allegations:	N/A
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:	01/11/2016



Sanctions Ordered: Cease and Desist
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: 01/11/2016

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement On 1/11/2016, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Robert DeChick. The Office found that Mr. DeChick violated Section National Association of Securities Dealers ("NASD") Rule 2340(c)(1)(A), (B)(3), and (5), and thereby Rule 69W-600.013(2)(h), Florida Administrative Code, and Section 517.161(1) (a), Florida Statutes by providing consolidated statements to customers without the required disclosures for their real estate investment trust investments ("REITs"). Mr. DeChick agreed to cease and desist from all present and future violations of Chapter 517, F.S. and the administrative rules thereunder; and to pay an administrative fine in the amount of \$5,500.

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Reporting Source: Individual

Regulatory Action Initiated By: Florida Office of Financial Regulation

Sanction(s) Sought: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 01/11/2016

Docket/Case Number: 58001-S

Employing firm when activity occurred which led to the regulatory action: D.H. Hill Securities, LLLP

Product Type: No Product

Allegations: The Florida Office of Financial Regulation (OFR) alleged that Mr. DeChick provided consolidated account statements to certain clients without the required disclosures for their REIT investments, in violation of NASD Rule 2340(c)(1)(A), (B)(3), and corresponding sections of the Florida Administrative Code (Rule 69W-600.0132(h)) and Florida Statutes (517.161(1)(a)).

Current Status: Final

Resolution: Stipulation and Consent



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:

01/11/2016

Sanctions Ordered:

Cease and Desist
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:

Yes

Date Paid by individual:

01/11/2016

Was any portion of penalty waived?

No

Amount Waived:

Broker Statement

The omission of the required disclosures from the consolidated statements in question was an administrative oversight by Mr. DeChick. Mr. DeChick resolved Florida OFR's allegations by entering into a stipulation wherein he consented to a finding that he provided consolidated account statements to certain clients without the required disclosures for their REIT investments. Mr. DeChick has fully complied with the terms of the stipulation.



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 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	D.H. HILL SECURITIES, LLLP
Allegations:	Customer was a client beginning 2015 through 2025. Client alleges unsuitable recommendation of GWG L-Bond in 2022.
Product Type:	Debt-Asset Backed
Alleged Damages:	\$65,000.00
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 #:	25-01994
Filing date of arbitration/CFTC reparation or civil litigation:	09/18/2025

Customer Complaint Information

Date Complaint Received:	10/03/2025
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	D.H. HILL SECURITIES, LLLP
Allegations:	Claimants allege unsuitable recommendation and misrepresentation of product sold in Nov 2020
Product Type:	Debt-Asset Backed
Alleged Damages:	\$50,000.00
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 #: 24-02319

Filing date of arbitration/CFTC reparation or civil litigation: 10/28/2024

Customer Complaint Information

Date Complaint Received: 11/05/2024

Complaint Pending? No

Status: Settled

Status Date: 12/18/2024

Settlement Amount: \$20,000.00

Individual Contribution Amount: \$16,000.00

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.

Disclosure 3 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: D.H. HILL SECURITIES, LLLP

Allegations: Claimants have been clients of representative from December 2011 to current. Claimants allege unsuitable recommendation and misrepresentation of product purchased in August 2020.

Product Type: Debt-Asset Backed

Alleged Damages: \$25,000.00

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 #: 24-02249

Filing date of arbitration/CFTC reparation or civil litigation: 10/18/2024



Customer Complaint Information

Date Complaint Received: 10/28/2024

Complaint Pending? No

Status: Settled

Status Date: 11/25/2024

Settlement Amount: \$10,000.00

Individual Contribution Amount: \$8,000.00

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.

Disclosure 4 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: D.H. HILL SECURITIES, LLLP

Allegations: Claimants have been clients since early 2015. Claimants allege misrepresentation, negligence, unsuitable recommendations, and failure to supervise.

Product Type: Debt-Asset Backed
Real Estate Security

Alleged Damages: \$50,000.00

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 #: 23-03163

Filing date of arbitration/CFTC reparation or civil litigation: 10/30/2023

Customer Complaint Information

Date Complaint Received: 11/06/2023

Complaint Pending? No

Status: Settled

Status Date: 05/14/2024

Settlement Amount: \$21,000.00

Individual Contribution Amount: \$16,800.00

**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.

Disclosure 5 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: D.H. HILL SECURITIES, LLLP

Allegations: Claimant alleges representative made unsuitable recommendation of a single product in 2014.

Product Type: Real Estate Security

Alleged Damages: \$20,000.00

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 #: 23-02025

Filing date of arbitration/CFTC reparation or civil litigation: 07/20/2023

Customer Complaint Information

Date Complaint Received: 07/26/2023

Complaint Pending? No

Status: Settled

Status Date: 10/23/2023

Settlement Amount: \$10,000.00

Individual Contribution Amount: \$8,000.00

Broker Statement

The Firm denies all allegations of wrongdoing in connection with this matter. Investment was 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.

Disclosure 6 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: D.H. HILL SECURITIES, LLLP



Allegations: Claim alleges representative made unsuitable recommendations and overconcentrated in non-liquid investments during time period as clients, 2011 to present.

Product Type: Equipment Leasing
Real Estate Security

Alleged Damages: \$499,000.00

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 #: 23-01901

Filing date of arbitration/CFTC reparation or civil litigation: 07/05/2023

Customer Complaint Information

Date Complaint Received: 07/10/2023

Complaint Pending? No

Status: Settled

Status Date: 06/05/2024

Settlement Amount: \$190,000.00

Individual Contribution Amount: \$152,000.00

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.

Disclosure 7 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: D.H. HILL SECURITIES, LLLP

Allegations: Claimant was a client and made investments between 2016 and 2022. Claim only involves 1 investment. Claimant alleges breach of contract, violation of fraud and state securities statutes, claims under common law, and vicarious liability.

Product Type: Debt-Asset Backed

Alleged Damages: \$50,000.00

Alleged Damages Amount Explanation (if amount not exact): Statement of claim states between \$50,000 and \$100,000.

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 Arbitration

Docket/Case #: 22-01824

Filing date of arbitration/CFTC reparation or civil litigation: 08/12/2022

Customer Complaint Information

Date Complaint Received: 08/18/2022

Complaint Pending? No

Status: Settled

Status Date: 07/05/2023

Settlement Amount: \$13,500.00

Individual Contribution Amount: \$10,800.00

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.

Disclosure 8 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: D.H. HILL SECURITIES, LLLP

Allegations: Customer sent letter to firm stating she believes she has lost \$20,000 due to investments chosen by Mr. DeChick and that she felt he did not practice his fiduciary responsibilities. Customer stated she was not a sophisticated investor, and that Mr. DeChick did not disclose that she could lose funds. Firm is in process of investigating allegations and investments. Client investments made between 2019 to 2021.

Product Type: Debt-Asset Backed
Equity Listed (Common & Preferred Stock)

Alleged Damages: \$20,000.00

Alleged Damages Amount Explanation (if amount not exact): Client is unsure of exact amount, estimating what she believes she may have lost

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: 06/27/2022

Complaint Pending? No

Status: Denied

Status Date: 01/23/2023

Settlement Amount:

Individual Contribution Amount:

Broker Statement Complaint found to be without merit. 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.

Disclosure 9 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: D.H. Hill Securities, LLLP

Allegations: Relationship began 2014. Claimants allege negligence, violations of law, unsuitable recommendations, negligent supervision, breach of contract, and breach of fiduciary duty.

Product Type: Other: REITS

Alleged Damages: \$75,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 20-04064

Date Notice/Process Served: 12/30/2020

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/06/2022

Monetary Compensation Amount: \$13,500.00

Individual Contribution Amount: \$10,800.00



End of Report

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