



IAPD Report

HUNTER LLOYD GIMBEL

CRD# 4912767

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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

HUNTER LLOYD GIMBEL (CRD# 4912767)

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 **08/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	HORNOR, TOWNSEND & KENT, LLC	CRD# 4031	05/18/2016
IA	HORNOR, TOWNSEND & KENT, LLC	CRD# 4031	08/26/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	PARK AVENUE SECURITIES LLC	46173	NEW YORK, NY	01/07/2016 - 05/17/2016
B	HORNOR, TOWNSEND & KENT, INC.	4031	NEW YORK, NY	03/29/2005 - 11/25/2015

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
Criminal	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 **17** jurisdiction(s) and **1** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **HORNOR, TOWNSEND & KENT, LLC**
Main Address: 161 WASHINGTON STREET
CONSHOHOCKEN, PA 19428
Firm ID#: 4031

	Regulator	Registration	Status	Date
	FINRA	Invest. Co and Variable Contracts	Approved	05/18/2016
	Arizona	Agent	Approved	10/10/2024
	California	Agent	Approved	10/19/2021
	Connecticut	Agent	Approved	07/10/2020
	Delaware	Agent	Approved	03/03/2025
	Florida	Agent	Approved	05/13/2021
	Illinois	Agent	Approved	11/20/2020
	Louisiana	Agent	Approved	01/29/2024
	Maryland	Agent	Approved	10/24/2023
	Massachusetts	Agent	Approved	10/11/2022
	Missouri	Agent	Approved	11/18/2020
	Nevada	Agent	Approved	05/23/2024
	New Jersey	Agent	Approved	09/16/2020



Qualifications

	Regulator	Registration	Status	Date
B	New York	Agent	Approved	05/31/2016
IA	New York	Investment Adviser Representative	Approved	08/26/2026
B	Oklahoma	Agent	Approved	11/16/2023
B	Pennsylvania	Agent	Approved	11/12/2020
B	Rhode Island	Agent	Approved	01/12/2026
B	Vermont	Agent	Approved	03/15/2022

Branch Office Locations

HORNOR, TOWNSEND & KENT, LLC
30 VESEY ST
9TH FLOOR
NEW YORK, NY 10007



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

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 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/03/2005

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	08/14/2026
B Uniform Securities Agent State Law Examination (S63)	Series 63	02/14/2005



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	01/07/2016 - 05/17/2016	PARK AVENUE SECURITIES LLC	CRD# 46173	NEW YORK, NY
B	03/29/2005 - 11/25/2015	HORNOR, TOWNSEND & KENT, INC.	CRD# 4031	NEW YORK, NY

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2016 - Present	HORNOR TOWNSEND & KENT INC	REGISTERED REPRESENTATIVE	Y	HORSHAM, PA, United States
05/2016 - Present	PENN MUTUAL LIFE INSURANCE CO	ADVISOR	Y	HORSHAM, PA, 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)GABER GROUP | INVEST RELATED: YES | DBA: GABER GROUP | POS: MANAGING DIRECTOR |ADD: 30 VESEY ST, 9TH FLR, NY, NY 10007 | START: 5/12/18 | NATURE: MULTI-LINE INS | # HRS: 41-100 | TRADE HRS: 41-100| DUTIES: SALES & SERVICE OF LAH/DI/LTC & ANNUITY ACCOUNTS INC LIFE SETTLEMENTS EFF 3/24/2023 FOR MULTIPLE CARRIERS INC PENN MUTUAL.
- 2)INS BROKERAGE | INVEST RELATED: YES | DBA: DRUCKER WEALTH MANAGEMENT | POS: AGENT | ADD: 30 VESEY ST, 9TH FLR, NY, NY 10007 | START: 10/15/17 | NATURE: LIFE INS BROKERAGE | # HRS: LESS THAN 10 | TRADE HRS: LESS THAN 10 | DUTIES: INS SALES & SERVICE FOR MULTIPLE CARRIERS, INC PENN MUTUAL LIFE INS CO.
- 3)INS BROKERAGE | INVEST RELATED: YES | DBA: GIMBEL NY INC | POS: OWNER | ADD: 30 VESEY ST, 9TH FLR, NY, NY 10007 | START: 1/2/18 | NATURE: LIFE INS BROKERAGE | # HRS: LESS THAN 10 | TRADE HRS: LESS THAN 10 | DUTIES: INS SALES & SERVICE OF LIFE, LONG TERM CARE, DISABILITY FOR MULTIPLE CARRIERS, INC PENN MUTUAL LIFE INS CO.
- 4)DEVELOPMENT SCHOOL FOR YOUTH | INVEST RELATED: NO | DBA: | POS: TRUSTEE | ADD: 543 WEST 42ND ST NY, NY 10036 | START: 1/1/19 | NATURE: CHARITY/RELIGIOUS/FOUNDATION | # HRS: LESS THAN 10 | TRADE HRS: LESS THAN 10 | DUTIES: TRUSTEE/MEMBER OF EVENT COMMITTEE | DUTIES: INTRODUCE COMPANIES THAT HAVE A FOR PAID INTERNS FROM THE DSY FOR THE SUMMER/DONATE TIME/ATTEND MEETINGS.
- 5)SOBEL AFFILIATES A BROWN & BROWN CO | INVEST RELATED: NO | POS: AGENT |ADD: 595 STEWART AVENUE GARDEN CITY, NY11530 | START: 11/11/19 | NATURE: PROPERTY/CASUALTY INS | # HRS: LESS THAN 10 | TRADE HRS: LESS THAN 10| DUTIES: INS SALES & SERVICE OF PROPERTY & CASUALTY INS FOR MULTIPLE CARRIERS.
- 6)GIMBEL RILEY LLC | POS: PARTNER | NATURE: PROP/CASUALTY INS SALES | INVEST RELATED: NO | # HRS: 20 | TRADE HRS: 20 | START: 6/23/23 | ADD: 443 2ND ST, APT 301, JERSEY CITY NJ 07302 | DUTIES: PARTNER IN PROPERTY/CASUALTY INS BUS
- 7)BUSINESS CONSULTANT | DBA: DRUCKER WEALTH MANAGEMENT | POS: CONSULTANT | NATURE: CONSULTING/BUSINESS CONSULTING | INVEST RELATED: YES | # HRS: 40 | TRADE HRS: 40 | START: 1/01/25 | ADD: 36 WILTON ROAD, COLD SPRING HARBOR NY 11724 | DUTIES: INS PROTECTION STRATEGIES/INS POLICY



Registration & Employment History



OTHER BUSINESS ACTIVITIES

RECOMMENDATIONS/RESEARCH/ESTATE PLANNING PREPARATION & DESIGN.

8)PURSHE KAPLAN STERLING BROKERAGE REFERRAL | DBA: GABER GROUP | POS: AGENT | NATURE: BD TO BD REFERRAL AGREEMENT W/ PURSHE KAPLAN STERLING | INVEST RELATED: YES | # HRS: 10 | TRADE HRS: 10 | START: 7/22/2025 | ADD: 30 VESEY ST, 9TH FLR, NEW YORK NY 10007 | DUTIES: REFERERING EXISTING/NEW CLIENTS TO PKS AS PART OF OUR APPROVED BD TO BD ARRANGEMENT. LANCE DRUCKER OF DRUCKER WEALTH MANAGEMENT WILL BE THE DIRECT LIASSON.

9)ESTATE PLANNING/BUSINESS CONSULTING | DBA: GABER GROUP | POS: MANAGING PARTNER | NATURE: CONSULTING | INVEST RELATED: NO | # HRS: 20 | TRADE HRS: 20 | START: 8/11/2025 | ADD: 30 VESEY ST, 9TH FLR, NEW YORK NY 10007 | DUTIES: Help clients prepare material to create their Estate Plan. Consult with clients and prepare Buy Sells and Legacy Plans. Annual Policy/Estate Planning Review: Annual Policy Reviews, Confirming policy owners & beneficiaries, obtain inforce policy projections,



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
Criminal	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	NEW YORK STATE, NASSAU COUNTY DISTRICT COURT, 99 MAIN STREET
Charge Date:	08/19/2001
Charge Details:	2 COUNTS SECOND DEGREE CRIMINAL POSSESSION OF A FORGED INSTRUMENT-2ND DEGREE FELONY 2 COUNTS- 3RD DEGREE CRIMINAL POSSESSION OF A FORGED INSTRUMENT-MISDEMEANOR
Felony?	Yes
Current Status:	Final
Status Date:	10/26/2002
Disposition Details:	2 COUNTS 2ND DEGREE CRIMINAL POSSESSION OF A FORGED INSTRUMENT- 2ND DEGREE FELONY DISMISSED 2 COUNTS 3RD DEGREE CRIMINAL POSSESSION OF A FORGED INSTRUMENT-MISDEMEANOR-REDUCED TO DISORDERLY CONDUCT- PLEAD GUILTY=PD FINE, 1 YR CONDITIONAL DISCHARGE
Broker Statement	THIS EVENT TOOK PLACE MANY YEARS AGO AND I AM STILL DISGUSTED AND HUMILATED WITH MYSELF. I HAVE LEARNED AND GROWN FROM THIS EVEN AND IT HAS HAD A MAJOR IMPACT OM MY LIFE. I UNDERSTAND THAT THIS IS AN INDUSTRY IN WHICH MATERIAL INFORMATION NEEDS TO BE CORRECT, ACCURACTE OF A TRUTHFULL NATURE. I CAN HONESTLY SAY, THAT THESE ARE THE FUNDAMENTALS THAT I NOW LIVE MY LIFE BY. THANK YOU, SINCERELY HUNTER L. GIMBEL



End of Report

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