



IAPD Report

Frederick W Hill

CRD# 7291030

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

i Please be aware that fraudsters may link to Investment Adviser Public Disclosure from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.
For more information read our [investor alert](#) on imposters.



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

Frederick W Hill (CRD# 7291030)

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 **01/22/2024**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|--------------------------|-------------|------------------|
| B | SECURITIES AMERICA, INC. | CRD# 10205 | 01/04/2024 |
| IA | PFG ADVISORS | CRD# 173344 | 01/11/2024 |

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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 | KESTRA ADVISORY SERVICES, LLC | 283330 | PORT JEFFERSON, NY | 02/26/2021 - 01/02/2024 |
| B | KESTRA INVESTMENT SERVICES, LLC | 42046 | Port Jefferson, NY | 11/16/2020 - 01/02/2024 |

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?

No



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

Employment 1 of 2

Firm Name: **PFG ADVISORS**
Main Address: 3200 N. CENTRAL AVE
SUITE #200
PHOENIX, AZ 85012
Firm ID#: 173344

| | Regulator | Registration | Status | Date |
|----|-----------|-----------------------------------|----------|------------|
| IA | Arizona | Investment Adviser Representative | Approved | 01/11/2024 |

Branch Office Locations

PFG ADVISORS
7600 N. 16th St. #100
Phoenix, AZ 85020

Employment 2 of 2

Firm Name: **SECURITIES AMERICA, INC.**
Main Address: 12325 PORT GRACE BLVD.
LAVISTA, NE 68128
Firm ID#: 10205

| | Regulator | Registration | Status | Date |
|---|----------------|-----------------------------------|----------|------------|
| B | FINRA | General Securities Representative | Approved | 01/04/2024 |
| B | Arizona | Agent | Approved | 01/04/2024 |
| B | Florida | Agent | Approved | 01/04/2024 |
| B | North Carolina | Agent | Approved | 01/04/2024 |
| B | Pennsylvania | Agent | Approved | 01/04/2024 |
| B | Vermont | Agent | Approved | 01/04/2024 |



Qualifications

Branch Office Locations

7600 N 16TH STREET SUITE 100
PHOENIX, AZ 85020



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 1 state securities law exam.

Principal/Supervisory Exams

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

No information reported.

General Industry/Product Exams

| Exam | Category | Date |
|---|------------|------------|
| B General Securities Representative Examination (S7TO) | Series 7TO | 11/16/2020 |
| B Securities Industry Essentials Examination (SIE) | SIE | 05/21/2020 |

State Securities Law Exams

| Exam | Category | Date |
|---|-----------|------------|
| IA B Uniform Combined State Law Examination (S66) | Series 66 | 02/18/2021 |



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 | 02/26/2021 - 01/02/2024 | KESTRA ADVISORY SERVICES, LLC | CRD# 283330 | PORT JEFFERSON, NY |
| B | 11/16/2020 - 01/02/2024 | KESTRA INVESTMENT SERVICES, LLC | CRD# 42046 | Port Jefferson, 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 |
|-------------------|---------------------------------|-------------------------------------|--------------------|-----------------------------------|
| 01/2024 - Present | PFG Advisors | IAR | Y | Phoenix, AZ, United States |
| 01/2024 - Present | Securities America, Inc | Registered Rep | Y | Phoenix, AZ, United States |
| 10/2020 - 01/2024 | Kestra Advisory Services, LLC | Investment Advisor | Y | Port Jefferson, NY, United States |
| 08/2020 - 01/2024 | Kestra Investment Services, LLC | Registered Rep / Investment Advisor | Y | Pt. Jefferson, NY, United States |
| 01/2007 - 05/2020 | FW HILL LLC Investment | Consulting | N | 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.

DBA: HillStreet Financial LLC

HILLSTREET FINANCIAL LLC

POSITION: Founder NATURE: I will be using HillStreet Financial LLC as the recipient of my salary in working with Phocus Financial. INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 01/02/2024 ADDRESS: 6827 E Ludlow Dr, Scottsdale AZ 85254, United States DESCRIPTION: This entity was formed for the sole purpose of receiving income from my work as a 1099.

PHOCUS ACCOUNTING & TAX SPECIALIST, PLLC

POSITION: Leading the activity NATURE: Income tax return Preparation INVESTMENT RELATED: No NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 120 START DATE: 01/08/2024 ADDRESS: 7600 N 16th Street, Suite 100, Phoenix AZ 85020, United States DESCRIPTION: Tax planning and return preparation.

PFG ADVISORS



Registration & Employment History



OTHER BUSINESS ACTIVITIES

POSITION: RIA NATURE: PFG Advisors INVESTMENT RELATED: Yes NUMBER OF HOURS: 40 SECURITIES TRADING
HOURS: 25 START DATE: 01/04/2024
ADDRESS: 7600 N 16th Street, Suite 100, Phoenix AZ 85020, United States
DESCRIPTION: Financial advising and financial planning.



End of Report

This page is intentionally left blank.