



IAPD Report

RANDY PAUL SILLER

CRD# 1532483

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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

RANDY PAUL SILLER (CRD# 1532483)

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 **11/14/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	HIGHTOWER SECURITIES, LLC	CRD# 116681	01/06/2021
IA	HIGHTOWER ADVISORS, LLC	CRD# 145323	01/25/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **32** 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	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	RYE BROOK, NY	09/01/1999 - 12/31/2020
B	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	RYE BROOK, NY	06/01/1998 - 12/31/2020
B	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	2580	FORT WAYNE, IN	03/29/2000 - 06/08/2006

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

Employment 1 of 2

Firm Name: **HIGHTOWER ADVISORS, LLC**
Main Address: 200 W. MADISON ST.
SUITE 2500
CHICAGO, IL 60606
Firm ID#: 145323

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved	01/25/2021
IA New York	Investment Adviser Representative	Approved	09/19/2022

Branch Office Locations

HIGHTOWER ADVISORS, LLC
800 Westchester Ave
Rye Brook, NY 10573

Employment 2 of 2

Firm Name: **HIGHTOWER SECURITIES, LLC**
Main Address: 200 WEST MADISON STREET
SUITE 2500
CHICAGO, IL 60606-3414
Firm ID#: 116681

Regulator	Registration	Status	Date
B FINRA	Direct Participation Programs	Approved	01/06/2021
B FINRA	General Securities Principal	Approved	01/06/2021
B FINRA	General Securities Representative	Approved	01/06/2021
B FINRA	Invest. Co and Variable Contracts	Approved	01/06/2021
B Arizona	Agent	Approved	01/25/2021



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	01/07/2021
B Colorado	Agent	Approved	03/08/2021
B Connecticut	Agent	Approved	01/07/2021
B Delaware	Agent	Approved	01/26/2021
B District of Columbia	Agent	Approved	02/02/2021
B Florida	Agent	Approved	01/07/2021
B Georgia	Agent	Approved	01/07/2021
B Illinois	Agent	Approved	01/25/2021
B Kansas	Agent	Approved	01/11/2021
B Kentucky	Agent	Approved	01/26/2021
B Louisiana	Agent	Approved	01/25/2021
B Maine	Agent	Approved	01/07/2021
B Maryland	Agent	Approved	01/07/2021
B Massachusetts	Agent	Approved	01/07/2021
B Nevada	Agent	Approved	02/09/2021
B New Jersey	Agent	Approved	01/25/2021
B New Mexico	Agent	Approved	01/29/2021
B New York	Agent	Approved	01/24/2021



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	01/07/2021
B Ohio	Agent	Approved	01/07/2021
B Oregon	Agent	Approved	01/16/2021
B Pennsylvania	Agent	Approved	01/07/2021
B Rhode Island	Agent	Approved	01/06/2021
B South Carolina	Agent	Approved	02/01/2021
B Tennessee	Agent	Approved	01/25/2021
B Texas	Agent	Approved	01/07/2021
B Vermont	Agent	Approved	01/25/2021
B Virginia	Agent	Approved	01/25/2021
B Washington	Agent	Approved	01/25/2021
B West Virginia	Agent	Approved	01/25/2021
B Wisconsin	Agent	Approved	01/07/2021

Branch Office Locations

800 Westchester Ave
Rye Brook, NY 10573




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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	02/01/1999

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	06/27/1990
 Direct Participation Programs Representative Examination (S22)	Series 22	08/18/1986
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/04/1986

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	10/17/1996
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/18/1986

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
IA	09/01/1999 - 12/31/2020	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	RYE BROOK, NY
B	06/01/1998 - 12/31/2020	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	RYE BROOK, NY
B	03/29/2000 - 06/08/2006	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN
B	08/05/1986 - 06/01/1998	CIGNA FINANCIAL ADVISORS, INC.	CRD# 145	RADNOR, PA

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
12/2020 - Present	Hightower Advisors LLC	Partner	Y	Rye Brook, NY, United States
12/2020 - Present	Hightower Securities LLC	Partner	Y	Rye Brook, NY, United States
06/1998 - 12/2020	LINCOLN FINANCIAL ADVISORS CORPORATION	REGISTERED REPRESENTATIVE	Y	RYE BROOK, NY, 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)SILLER AND COHEN LLC, LLC ENTITY, INVESTMENT RELATED, MEMBER, ENTITY TO PAY BUSINESS EXPENSES, START 12/23/2009, 10HPM/DTH.

2) NAME AND ADDRESS:RANDY P. SILLER 800 WESTCHESTER AVENUE, SUITE S-504 RYE BROOK, NY 10573
CATEGORY:LIFE SETTLEMENT
INVESTMENT-RELATED:YES
TITLE: AGENT
DUTIES: OFFERING FIXED LIFE SETTLEMENTS.
START DATE:03/24/10
HOURS PER MONTH: 3
HOURS PER MONTH DURING TRADING HOURS:3

3)RANDY P. SILLER
800 WESTCHESTER AVENUE
SUITE S-504



Registration & Employment History



OTHER BUSINESS ACTIVITIES

RYE BROOK NY 10573

CATEGORY: INSURANCE

INVESTMENT-RELATED: YES

TITLE: AGENT

DUTIES: OFFERING ACCIDENT/HEALTH, DISABILITY, FIXED ANNUITIES, LTC, INSURANCE PORTION OF HSAS, GROUP INSURANCE AND TRADITIONAL LIFE INSURANCE.

START DATE: 9-1-2007

HOURS PER MONTH: 10

HOURS PER MONTH DURING TRADING HOURS: 10



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
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 1

Reporting Source:	Individual
Regulatory Action Initiated By:	NEW YORK INSURANCE DEPT (NYID")
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	05/23/1996
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	NEW YORK LIFE INSURANCE CO.
Product Type:	Insurance
Other Product Type(s):	
Allegations:	VIOLATION OF NEW YORK INSURANCE LAWS-SECTIONS #2110 AND #2114 (A) (2) (LIFE, ACCIDENT AND HEALTH INSURANCE AGENTS; COMMISSIONS)
Current Status:	Final
Resolution:	Withdrawn
Resolution Date:	04/23/1997
Sanctions Ordered:	Monetary/Fine \$2,500.00
Other Sanctions Ordered:	
Sanction Details:	(MYID CITATION WITHDRAWN) IMPOSITION OF PENALTY



OF \$2,500.00 (DUE TO UNLAWFUL SHARING WITH AN UNAPPOINTED AGENT
COMMISSIONS OBTAINED FROM SELLING FOUR LIFE INSURANCE
POLICIES
ISSUED BY ONE ISSUER.

Broker Statement

BELIEVED, IN GOOD FAITH, THAT AGENT WITH WHOM I
WAS SHARING A COMMISSION WAS DULY AUTHORIZED AND LICENSED TO
ACT AS AN AGENT FOR THE ISSUING COMPANY. SPECIFICALLY INQUIRED
OF AGENT WHETHER SHE WAS AUTHORIZED BY ISSUING COMPANY AND
SHE
RESPONDED THAT SHE WAS.



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: Individual

Firm Name: NYLIC (NEW YORK LIFE INSURANCE CO)

Termination Type: Voluntary Resignation

Termination Date: 08/25/1995

Allegations: VIOLATION OF NEW YORK LIFE CONTRACT (DUE TO THE UNAUTHORIZED SHARING OF COMMISSIONS WITH AN AGENT WHO WAS NOT APPOINTED BY NEW YORK LIFE)

Product Type: Insurance

Other Product Types:

Broker Statement CONTRACT WITH NEW YORK LIFE NO LONGER IN EFFECT BELIEVED, IN GOOD FAITH, THAT AGENT WITH WHOM I WAS SHARING A COMMISSION WAS DULY AUTHORIZED AND LICENSED TO ACT AS AN AGENT FOR THE ISSUING COMPANY. SPECIFICALLY INQUIRED OF AGENT WHETHER SHE WAS AUTHORIZED BY ISSUING COMPANY AND SHE RESPONDED THAT SHE WAS.



End of Report

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