



IAPD Report

BRIAN PHILIP HAYNER

CRD# 2031326

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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

BRIAN PHILIP HAYNER (CRD# 2031326)

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 **03/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CITIZENS SECURITIES, INC.	CRD# 39550	12/01/2005
IA	CITIZENS SECURITIES, INC.	CRD# 39550	09/26/2006

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	CHARTER ONE SECURITIES, INC.	13373	CLEVELAND, OH	03/15/1999 - 12/01/2005
B	LOCUST STREET SECURITIES, INC.	1703	DES MOINES, IA	01/12/1998 - 03/15/1999
B	LIBERTY SECURITIES CORPORATION	14416	PURCHASE, NY	09/11/1996 - 12/31/1997

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

Employment 1 of 1

Firm Name: **CITIZENS SECURITIES, INC.**
Main Address: ONE CITIZENS BANK WAY
JCB135
JOHNSTON, RI 02043
Firm ID#: 39550

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	12/01/2005
B	FINRA	Invest. Co and Variable Contracts	Approved	12/01/2005
B	Alabama	Agent	Approved	01/23/2025
B	California	Agent	Approved	06/19/2017
IA	California	Investment Adviser Representative	Approved	06/19/2017
B	Delaware	Agent	Approved	02/24/2020
IA	Delaware	Investment Adviser Representative	Approved	02/24/2020
B	Florida	Agent	Approved	12/01/2005
IA	Florida	Investment Adviser Representative	Approved	08/17/2015
IA	Idaho	Investment Adviser Representative	Approved	08/14/2015
B	Idaho	Agent	Approved	09/28/2020
B	Illinois	Agent	Approved	11/13/2023
IA	Illinois	Investment Adviser Representative	Approved	11/13/2023



Qualifications

	Regulator	Registration	Status	Date
B	Maryland	Agent	Approved	04/09/2025
IA	Maryland	Investment Adviser Representative	Approved	04/09/2025
IA	New Hampshire	Investment Adviser Representative	Approved	11/09/2017
B	New York	Agent	Approved	12/01/2005
IA	New York	Investment Adviser Representative	Approved	04/08/2021
B	North Carolina	Agent	Approved	01/04/2022
IA	North Carolina	Investment Adviser Representative	Approved	01/06/2022
B	Oregon	Agent	Approved	01/11/2026
IA	Oregon	Investment Adviser Representative	Approved	01/11/2026
IA	Pennsylvania	Investment Adviser Representative	Approved	09/26/2006
B	Pennsylvania	Agent	Approved	03/28/2013
B	South Carolina	Agent	Approved	09/26/2024
IA	South Carolina	Investment Adviser Representative	Approved	09/26/2024
B	Texas	Agent	Approved	06/22/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	06/22/2017
B	Virginia	Agent	Approved	01/03/2020
IA	Virginia	Investment Adviser Representative	Approved	01/03/2020

Branch Office Locations

CITIZENS SECURITIES, INC.



Qualifications

2000 MONROE AVENUE
MS: NYR132
ROCHESTER, NY 14618



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
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	05/16/2000
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/12/1990

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	03/01/2006
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/06/1990

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	03/15/1999 - 12/01/2005	CHARTER ONE SECURITIES, INC.	CRD# 13373	CLEVELAND, OH
B	01/12/1998 - 03/15/1999	LOCUST STREET SECURITIES, INC.	CRD# 1703	DES MOINES, IA
B	09/11/1996 - 12/31/1997	LIBERTY SECURITIES CORPORATION	CRD# 14416	PURCHASE, NY
B	07/11/1994 - 09/09/1996	COMMUNITY SECURITIES, INC.	CRD# 10431	ROCHESTER, NY
B	05/02/1994 - 08/13/1994	HARTFORD EQUITY SALES COMPANY INC.	CRD# 6604	HARTFORD, CT
B	06/13/1990 - 03/03/1994	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	BOSTON, MA
B	06/13/1990 - 03/03/1994	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA

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
12/2005 - Present	CITIZENS SECURITIES, INC.	SENIOR WEALTH ADVISOR	Y	ROCHESTER, 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.

BK HAYNER PROPERTIES - PARTNER - RENTAL COMPANY. AS OF 03/2014. 2 HRS/MONTH, NON DURING SECURITIES TRADING HOURS.



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
Termination	1

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: JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY

Termination Type: Permitted to Resign

Termination Date: 01/20/1994

Allegations: N/A
IT WAS ALLEGED BY MR DESMITH THAT I ACTED UNPROFESSIONALLY DURING AN APPOINTMENT

Product Type:

Other Product Types:

Broker Statement

MR DESMITH COMMENTED IN HIS LETTER TO JOHN HANCOCK THAT HE WAS UPSET THAT I DISCUSSED AMWAY WITH HIM. AS A RESULT OF HIS COMPLAINT MY SUPERVISOR, MARK PRIEST FELT I SHOULD BE TERMINATED. AS PER A LETTER DATED 8-4-94 FROM THE NASD, THE CASE IS CLOSED, NO ACTION WARRANTED - COPY ATTACHED MR DESMITH WAS A CLIENT OF MINE FOR 3 YRS. OVER THIS PERIOD OF TIME I SOLD HIM VARIOUS INSURANCE & MUTUAL FUND PRODUCTS TO MEET HIS NEEDS IN MID JANUARY 1994, I OBTAINED AN APPT TO CONDUCT A YEAR END REVIEW OF HIS INVESTMENTS. HE WAS SATISFIED WITH THE PERFORMANCE OF HIS INVESTMENTS & HE FELT THEY MET HIS OBJECTIVE OVER THE YEARS, I FELT THAT WE HAD BUILT A STRONG PROFESSIONAL RELATIONSHIP TOGETHER & HE SEEMED HAPPY WITH ME AS HIS AGENT. AFTER THE REVIEW I ASKED HIM IF HE WOULD BE INTERESTED IN HEARING ABOUT AN OPPORTUNITY TO MAKE SOME MONEY WHICH HAD NOTHING TO DO WITH J. HANCOCK, HIS INVESTMENT OR THE REQUIREMENT OF ANY CASH OR SECURITIES, JUST AN INVESTMENT OF TIME. HE SAID YES, I THEN SPENT 20 MINUTES TALKING ABOUT AMWAY & I GAVE HIM SOME LITERATURE. WHEN THE



MEETING CONCLUDED, MR DESMITH COMMENTED HE WOULD THINK ABOUT IT & GET BACK TO ME. SHORTLY THERE AFTER HE ISSUED HIS COMPLAINT TO JOHN HANCOCK.



End of Report

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