IAPD Report

BRIAN THOMAS SZYTEL

CRD# 4562819

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

BRIAN THOMAS SZYTEL (CRD# 4562819)

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 **12/02/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	HIGHTOWER SECURITIES, LLC	CRD# 116681	04/02/2015
IA	HIGHTOWER ADVISORS, LLC	CRD# 145323	04/03/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **34** 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	MORGAN STANLEY	149777	NEWPORT BEACH, CA	06/01/2009 - 04/15/2015
IA	MORGAN STANLEY	149777	NEWPORT BEACH, CA	06/01/2009 - 04/15/2015
IA	MORGAN STANLEY & CO. INCORPORATED	8209	NEWPORT BEACH, CA	12/09/2008 - 06/01/2009

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 **34** 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	Florida	Investment Adviser Representative	Approved	09/09/2024

Branch Office Locations

HIGHTOWER ADVISORS, LLC
250 South Australian Avenue, Suite 1010
West Palm Beach, FL 33401

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	General Securities Representative	Approved	04/02/2015
B	Arizona	Agent	Approved	04/02/2015
B	California	Agent	Approved	04/02/2015
B	Colorado	Agent	Approved	04/02/2015
B	Connecticut	Agent	Approved	04/02/2015
B	Florida	Agent	Approved	04/02/2015

Qualifications

	Regulator	Registration	Status	Date
B	Georgia	Agent	Approved	04/02/2015
B	Hawaii	Agent	Approved	04/02/2015
B	Idaho	Agent	Approved	04/02/2015
B	Indiana	Agent	Approved	04/02/2015
B	Iowa	Agent	Approved	04/02/2015
B	Kansas	Agent	Approved	04/02/2015
B	Maryland	Agent	Approved	04/02/2015
B	Massachusetts	Agent	Approved	04/02/2015
B	Michigan	Agent	Approved	04/02/2015
B	Minnesota	Agent	Approved	04/02/2015
B	Missouri	Agent	Approved	04/02/2015
B	Montana	Agent	Approved	04/02/2015
B	Nevada	Agent	Approved	04/21/2015
B	New Hampshire	Agent	Approved	04/02/2015
B	New Jersey	Agent	Approved	04/02/2015
B	New Mexico	Agent	Approved	04/02/2015
B	New York	Agent	Approved	04/02/2015
B	Ohio	Agent	Approved	04/02/2015

Qualifications

	Regulator	Registration	Status	Date
B	Oklahoma	Agent	Approved	04/02/2015
B	Oregon	Agent	Approved	04/02/2015
B	Pennsylvania	Agent	Approved	04/02/2015
B	Puerto Rico	Agent	Approved	03/28/2019
B	Rhode Island	Agent	Approved	04/02/2015
B	South Carolina	Agent	Approved	04/02/2015
B	Tennessee	Agent	Approved	04/02/2015
B	Texas	Agent	Approved	04/02/2015
B	Utah	Agent	Approved	04/02/2015
B	Virginia	Agent	Approved	04/02/2015
B	Washington	Agent	Approved	04/02/2015

Branch Office Locations

250 South Australian Avenue
Suite 1010
West Palm Beach, FL 33401

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
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	07/17/2009
B	General Securities Representative Examination (S7)	Series 7	09/05/2002

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	09/27/2002

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	06/01/2009 - 04/15/2015	MORGAN STANLEY	CRD# 149777	NEWPORT BEACH, CA
IA	06/01/2009 - 04/15/2015	MORGAN STANLEY	CRD# 149777	NEWPORT BEACH, CA
IA	12/09/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	NEWPORT BEACH, CA
B	12/05/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	NEWPORT BEACH, CA
B	05/29/2007 - 12/17/2008	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEWPORT BEACH, CA
IA	05/29/2007 - 12/17/2008	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEWPORT BEACH, CA
B	08/08/2005 - 05/29/2007	CITICORP INVESTMENT SERVICES	CRD# 23988	CORONA DEL MAR, CA
IA	08/08/2005 - 05/29/2007	CITICORP INVESTMENT SERVICES	CRD# 23988	CORONA DEL MAR, CA
B	10/07/2002 - 08/18/2005	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
IA	10/07/2002 - 08/18/2005	UBS FINANCIAL SERVICES INC.	CRD# 8174	CARLSBAD, CA

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
04/2015 - Present	HIGHTOWER ADVISORS, LLC	MANAGING DIRECTOR, PARTNER	Y	NEWPORT BEACH, CA, United States
04/2015 - Present	HIGHTOWER SECURITIES, LLC	MANAGING DIRECTOR, PARTNER	Y	NEWPORT BEACH, CA, United States

Registration & Employment History

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.

BTS PROPERTIES, LLC,ALISO VIEJO, CA 92656-REAL ESTATE-PRESIDENT

End of Report

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