



## IAPD Report

**STEPHEN R SYDOR**

CRD# 6564083

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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

### STEPHEN R SYDOR (CRD# 6564083)

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 **11/06/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	HSBC SECURITIES (USA) INC.	CRD# 19585	10/16/2015
IA	HSBC SECURITIES (USA) INC.	CRD# 19585	11/02/2020

### QUALIFICATIONS

This representative is currently registered in **14** SRO(s) and **43** 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
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No information reported.

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 **43** jurisdiction(s) and 14 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **HSBC SECURITIES (USA) INC.**  
Main Address: 66 HUDSDON BOULEVARD EAST  
NEW YORK, NY 10001  
Firm ID#: 19585

	Regulator	Registration	Status	Date
	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	04/23/2020
	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	04/23/2020
	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	04/23/2020
	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	04/23/2020
	Cboe Exchange, Inc.	General Securities Representative	Approved	04/23/2020
	FINRA	General Securities Representative	Approved	10/16/2015
	Investors' Exchange LLC	General Securities Representative	Approved	04/23/2020
	NYSE American LLC	General Securities Representative	Approved	10/16/2015
	NYSE Arca, Inc.	General Securities Representative	Approved	10/16/2015
	Nasdaq BX, Inc.	General Securities Representative	Approved	10/16/2015
	Nasdaq ISE, LLC	General Securities Representative	Approved	10/16/2015
	Nasdaq PHLX LLC	General Securities Representative	Approved	10/16/2015
	Nasdaq Stock Market	General Securities Representative	Approved	10/16/2015



## Qualifications

	Regulator	Registration	Status	Date
B	New York Stock Exchange	General Securities Representative	Approved	10/16/2015
B	Alabama	Agent	Approved	02/01/2021
IA	Alabama	Investment Adviser Representative	Approved	02/01/2021
B	Arizona	Agent	Approved	01/18/2022
B	Arkansas	Agent	Approved	02/01/2021
B	California	Agent	Approved	06/03/2016
B	Colorado	Agent	Approved	02/01/2021
B	Connecticut	Agent	Approved	08/09/2021
B	Delaware	Agent	Approved	02/01/2021
IA	Delaware	Investment Adviser Representative	Approved	02/01/2021
B	District of Columbia	Agent	Approved	06/03/2016
IA	District of Columbia	Investment Adviser Representative	Approved	02/03/2021
B	Florida	Agent	Approved	02/01/2021
B	Georgia	Agent	Approved	02/01/2021
IA	Georgia	Investment Adviser Representative	Approved	04/12/2021
IA	Hawaii	Investment Adviser Representative	Approved	02/01/2021
B	Hawaii	Agent	Approved	03/25/2021
B	Illinois	Agent	Approved	02/01/2021
IA	Illinois	Investment Adviser Representative	Approved	02/01/2021



## Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	02/01/2021
B	Iowa	Agent	Approved	02/01/2021
IA	Iowa	Investment Adviser Representative	Approved	02/01/2021
B	Kansas	Agent	Approved	02/01/2021
IA	Kansas	Investment Adviser Representative	Approved	02/04/2021
B	Kentucky	Agent	Approved	02/01/2021
IA	Kentucky	Investment Adviser Representative	Approved	02/01/2021
B	Louisiana	Agent	Approved	02/01/2021
IA	Louisiana	Investment Adviser Representative	Approved	02/01/2021
B	Maine	Agent	Approved	02/01/2021
IA	Maine	Investment Adviser Representative	Approved	02/01/2021
B	Maryland	Agent	Approved	06/03/2016
IA	Maryland	Investment Adviser Representative	Approved	02/01/2021
B	Massachusetts	Agent	Approved	02/01/2021
B	Michigan	Agent	Approved	02/01/2021
IA	Michigan	Investment Adviser Representative	Approved	02/01/2021
B	Minnesota	Agent	Approved	02/01/2021
IA	Minnesota	Investment Adviser Representative	Approved	08/01/2022
B	Mississippi	Agent	Approved	02/01/2021



## Qualifications

	Regulator	Registration	Status	Date
B	Missouri	Agent	Approved	02/01/2021
B	Nevada	Agent	Approved	02/01/2021
B	New Hampshire	Agent	Approved	02/01/2021
B	New Jersey	Agent	Approved	02/01/2021
B	New Mexico	Agent	Approved	02/01/2021
IA	New Mexico	Investment Adviser Representative	Approved	02/02/2021
B	New York	Agent	Approved	06/03/2016
B	North Carolina	Agent	Approved	06/06/2016
IA	North Carolina	Investment Adviser Representative	Approved	02/01/2021
B	Ohio	Agent	Approved	02/02/2021
IA	Oklahoma	Investment Adviser Representative	Approved	02/01/2021
B	Oregon	Agent	Approved	02/01/2021
B	Pennsylvania	Agent	Approved	06/03/2016
B	Puerto Rico	Agent	Approved	08/18/2021
B	Rhode Island	Agent	Approved	06/03/2016
B	South Carolina	Agent	Approved	02/01/2021
IA	South Carolina	Investment Adviser Representative	Approved	02/01/2021
B	Texas	Agent	Approved	02/01/2021
IA	Texas	Investment Adviser Representative	Approved	02/04/2021



## Qualifications

	Regulator	Registration	Status	Date
B	Vermont	Agent	Approved	02/26/2021
B	Virginia	Agent	Approved	11/09/2015
IA	Virginia	Investment Adviser Representative	Approved	11/02/2020
B	Washington	Agent	Approved	02/01/2021
B	West Virginia	Agent	Approved	02/01/2021
B	Wisconsin	Agent	Approved	06/03/2016

## Branch Office Locations

**HSBC SECURITIES (USA) INC.**  
802 7th Street NW  
Washington DC, DC 20001

**HSBC SECURITIES (USA) INC.**  
Alexandria, VA





## 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>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	10/16/2015

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	09/25/2020
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	11/09/2015



### 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:

No information reported.

### 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
01/2021 - Present	HSBC Bank USA, N.A.	Wealth Relationship Manager	Y	Washington, DC, United States
01/2021 - Present	HSBC Securities (USA) Inc.	Wealth Relationship Manager	Y	Washington, DC, United States
04/2017 - 01/2021	HSBC Bank USA, N.A.	Premier Relationship Manager	Y	Washington, DC, United States
07/2015 - 04/2017	HSBC Bank USA, N.A.	Graduate Development Program Trainee	Y	Alexandria, VA, 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.

Dual hatted as a Bank Officer for HSBC Bank (USA) N.A., an affiliate of HSBC Securities (USA) Inc., engaging in the sale of bank related products and services. This position will be in conjunction with my current role as a registered representative with HSBC Securities (USA) Inc.



## End of Report

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