



IAPD Report

RYAN ZHAO

CRD# 6748346

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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

RYAN ZHAO (CRD# 6748346)

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 **05/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	HSBC SECURITIES (USA) INC.	CRD# 19585	02/01/2019
IA	HSBC SECURITIES (USA) INC.	CRD# 19585	07/10/2021

QUALIFICATIONS

This representative is currently registered in **14** SRO(s) and **53** 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	HSBC SECURITIES (USA) INC.	19585	NEW YORK, NY	11/01/2017 - 11/17/2017
B	WELLS FARGO CLEARING SERVICES, LLC	19616	HOBOKEN, NJ	03/28/2017 - 08/30/2017

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 **53** 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
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	04/01/2021
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	04/01/2021
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	04/01/2021
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	04/01/2021
B	Cboe Exchange, Inc.	General Securities Representative	Approved	04/01/2021
B	FINRA	Invest. Co and Variable Contracts	Approved	02/01/2019
B	FINRA	General Securities Representative	Approved	04/01/2021
B	Investors' Exchange LLC	General Securities Representative	Approved	04/01/2021
B	NYSE American LLC	General Securities Representative	Approved	04/01/2021
B	NYSE Arca, Inc.	General Securities Representative	Approved	04/01/2021
B	Nasdaq ISE, LLC	General Securities Representative	Approved	04/01/2021
B	Nasdaq PHLX LLC	General Securities Representative	Approved	04/01/2021
B	Nasdaq Stock Market	General Securities Representative	Approved	04/01/2021



Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq Texas, LLC	General Securities Representative	Approved	04/01/2021
B	New York Stock Exchange	General Securities Representative	Approved	04/01/2021
B	Alabama	Agent	Approved	06/02/2021
IA	Alabama	Investment Adviser Representative	Approved	04/04/2022
B	Alaska	Agent	Approved	06/07/2021
IA	Alaska	Investment Adviser Representative	Approved	04/05/2022
B	Arizona	Agent	Approved	06/08/2021
B	Arkansas	Agent	Approved	06/02/2021
B	California	Agent	Approved	06/03/2021
B	Colorado	Agent	Approved	06/03/2021
B	Connecticut	Agent	Approved	06/04/2021
B	Delaware	Agent	Approved	06/07/2021
IA	Delaware	Investment Adviser Representative	Approved	04/08/2022
B	District of Columbia	Agent	Approved	06/09/2021
IA	District of Columbia	Investment Adviser Representative	Approved	06/14/2022
B	Florida	Agent	Approved	06/03/2021
B	Georgia	Agent	Approved	06/04/2021
IA	Georgia	Investment Adviser Representative	Approved	04/05/2022
B	Hawaii	Agent	Approved	06/03/2021



Qualifications

	Regulator	Registration	Status	Date
B	Idaho	Agent	Approved	06/03/2021
B	Illinois	Agent	Approved	06/14/2021
B	Indiana	Agent	Approved	06/03/2021
B	Iowa	Agent	Approved	06/04/2021
IA	Iowa	Investment Adviser Representative	Approved	04/08/2022
B	Kansas	Agent	Approved	06/03/2021
IA	Kansas	Investment Adviser Representative	Approved	04/05/2022
B	Kentucky	Agent	Approved	06/11/2021
B	Louisiana	Agent	Approved	06/04/2021
IA	Louisiana	Investment Adviser Representative	Approved	04/05/2022
B	Maine	Agent	Approved	06/02/2021
IA	Maine	Investment Adviser Representative	Approved	04/05/2022
B	Maryland	Agent	Approved	06/03/2021
IA	Maryland	Investment Adviser Representative	Approved	04/04/2022
B	Massachusetts	Agent	Approved	06/03/2021
B	Michigan	Agent	Approved	06/07/2021
B	Minnesota	Agent	Approved	06/03/2021
IA	Minnesota	Investment Adviser Representative	Approved	04/05/2022
B	Mississippi	Agent	Approved	06/04/2021



Qualifications

	Regulator	Registration	Status	Date
B	Missouri	Agent	Approved	07/28/2022
IA	Missouri	Investment Adviser Representative	Approved	07/28/2022
B	Montana	Agent	Approved	06/03/2021
IA	Montana	Investment Adviser Representative	Approved	04/04/2022
B	Nebraska	Agent	Approved	06/09/2021
IA	Nebraska	Investment Adviser Representative	Approved	04/06/2022
B	Nevada	Agent	Approved	06/14/2021
B	New Hampshire	Agent	Approved	06/03/2021
B	New Jersey	Agent	Approved	06/02/2021
IA	New Jersey	Investment Adviser Representative	Approved	08/11/2025
B	New Mexico	Agent	Approved	06/03/2021
IA	New Mexico	Investment Adviser Representative	Approved	04/05/2022
B	New York	Agent	Approved	02/06/2019
IA	New York	Investment Adviser Representative	Approved	07/10/2021
B	North Carolina	Agent	Approved	06/03/2021
IA	North Carolina	Investment Adviser Representative	Approved	04/05/2022
B	North Dakota	Agent	Approved	06/07/2021
IA	North Dakota	Investment Adviser Representative	Approved	04/11/2022
B	Ohio	Agent	Approved	06/03/2021



Qualifications

	Regulator	Registration	Status	Date
B	Oklahoma	Agent	Approved	06/04/2021
B	Oregon	Agent	Approved	06/09/2021
B	Pennsylvania	Agent	Approved	06/03/2021
B	Puerto Rico	Agent	Approved	06/03/2021
IA	Puerto Rico	Investment Adviser Representative	Approved	04/19/2022
B	Rhode Island	Agent	Approved	06/08/2021
B	South Carolina	Agent	Approved	06/08/2021
B	South Dakota	Agent	Approved	07/06/2021
B	Tennessee	Agent	Approved	06/03/2021
B	Texas	Agent	Approved	06/02/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	04/05/2022
B	Utah	Agent	Approved	06/03/2021
IA	Utah	Investment Adviser Representative	Approved	04/05/2022
B	Vermont	Agent	Approved	06/02/2021
B	Virgin Islands	Agent	Approved	06/03/2021
IA	Virgin Islands	Investment Adviser Representative	Approved	06/17/2022
B	Virginia	Agent	Approved	06/03/2021
IA	Virginia	Investment Adviser Representative	Approved	04/05/2022



Qualifications

	Regulator	Registration	Status	Date
B	Washington	Agent	Approved	06/02/2021
B	West Virginia	Agent	Approved	06/24/2021
B	Wisconsin	Agent	Approved	06/03/2021
B	Wyoming	Agent	Approved	06/07/2021

Branch Office Locations

HSBC SECURITIES (USA) INC.
Hamilton, NJ

HSBC SECURITIES (USA) INC.
66 Hudson Boulevard
29th Floor
NEW YORK, NY 10001



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
B General Securities Representative Examination (S7TO)	Series 7TO	04/01/2021
B Securities Industry Essentials Examination (SIE)	SIE	11/17/2017
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/28/2017

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	07/07/2021
B Uniform Securities Agent State Law Examination (S63)	Series 63	04/06/2017



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	11/01/2017 - 11/17/2017	HSBC SECURITIES (USA) INC.	CRD# 19585	NEW YORK, NY
B	03/28/2017 - 08/30/2017	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	HOBOKEN, NJ

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
05/2021 - Present	HSBC Bank USA, N.A.	INVESTMENT COUNSELOR	Y	New York, NY, United States
05/2021 - Present	HSBC SECURITIES (USA) INC.	INVESTMENT COUNSELOR	Y	New York, NY, United States
12/2018 - 05/2021	HSBC Securities USA, Inc.	Premier Relationship Manager	Y	New York, NY, United States
08/2017 - 05/2021	HSBC Bank USA, National Association	Premier Relationship Manager	Y	New York, NY, United States
05/2016 - 08/2017	WELLS FARGO BANK, NA	PERSONAL BANKER/LICENSED BANKER	Y	HOBOKEN, NJ, 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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