

BrokerCheck Report

HEITMAN SECURITIES LLC

CRD# 13620

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

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Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)

HEITMAN SECURITIES LLC

CRD# 13620

SEC# 8-29393

Main Office Location

110 N. WACKER DRIVE
 SUITE 4000
 CHICAGO, IL 60606
 Regulated by FINRA Chicago Office

Mailing Address

110 N. WACKER DRIVE
 SUITE 4000
 CHICAGO, IL 60606

Business Telephone Number

312-855-5700

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 12/30/1998.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 2 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 1 type of business.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

**Disclosure Events**

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 12/30/1998.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

HEITMAN SECURITIES LLC

Doing business as HEITMAN SECURITIES LLC

CRD# 13620

SEC# 8-29393

Main Office Location

110 N. WACKER DRIVE
SUITE 4000
CHICAGO, IL 60606

Regulated by FINRA Chicago Office

Mailing Address

110 N. WACKER DRIVE
SUITE 4000
CHICAGO, IL 60606

Business Telephone Number

312-855-5700



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	HEITMAN FINANCIAL SERVICES LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SOLE MEMBER
Position Start Date	12/1998
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ANGELOS, VASELEKE VICKY 4335346
Is this a domestic or foreign entity or an individual?	Individual
Position	EXECUTIVE VICE PRESIDENT
Position Start Date	03/2024
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	BARSKY, SCOTT 8042206
Is this a domestic or foreign entity or an individual?	Individual
Position	SENIOR VICE PRESIDENT
Position Start Date	01/2025



Firm Profile

Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): D'AGOSTINO, JOHN MICHAEL
3104389

Is this a domestic or foreign entity or an individual? Individual

Position SENIOR VICE PRESIDENT

Position Start Date 09/2023

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): HANSON, GABRIELLE PORTER
7050637

Is this a domestic or foreign entity or an individual? Individual

Position SENIOR VICE PRESIDENT

Position Start Date 05/2024

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): INGALL, LEWIS STEVEN

Firm Profile



Direct Owners and Executive Officers (continued)

	4340352
Is this a domestic or foreign entity or an individual?	Individual
Position	SENIOR MANAGING DIRECTOR, EXECUTIVE VICE PRESIDENT AND ASSISTANT SECRETARY
Position Start Date	09/2003
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MANCUSO, JOHN ARTHUR 6534363
Is this a domestic or foreign entity or an individual?	Individual
Position	MANAGING DIRECTOR, EXECUTIVE VICE PRESIDENT
Position Start Date	03/2021
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MCCARTHY, THOMAS DONOVAN 2540415
Is this a domestic or foreign entity or an individual?	Individual
Position	SENIOR MANAGING DIRECTOR, CHIEF COMPLIANCE OFFICER AND SECRETARY
Position Start Date	10/2001
Percentage of Ownership	Less than 5%

Firm Profile



Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): NICCHIA, LISA MARIE
6747303

Is this a domestic or foreign entity or an individual? Individual

Position SENIOR VICE PRESIDENT

Position Start Date 03/2018

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): POLITO, CHRISTINA ANN MISS
5418579

Is this a domestic or foreign entity or an individual? Individual

Position EXECUTIVE VICE PRESIDENT

Position Start Date 10/2007

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No



Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any):	HEITMAN LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	HEITMAN FINANCIAL SERVICES LLC
Relationship to Direct Owner	SOLE MEMBER OF HEITMAN FINANCIAL SERVICES LLC
Relationship Established	12/1998
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	KE I LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	HEITMAN LLC
Relationship to Direct Owner	MEMBER OF HEITMAN LLC
Relationship Established	01/1999
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 2 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	05/13/1983

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	02/09/1984

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	05/28/1999
Illinois	Approved	01/13/2014

Firm Operations



Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 1 type of business.

Types of Business

Real estate syndicator

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does not have books or records maintained by a third party.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

HEITMAN INTERNATIONAL HK LIMITED is under common control with the firm.

CRD #:	170550
Business Address:	10/F LHT TOWER CENTRAL HONG KONG, HONG KONG
Effective Date:	04/20/2011
Foreign Entity:	Yes
Country:	HONG KONG
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	APPLICANT AND HEITMAN INTERNATIONAL HK LIMITED ARE RESPECTIVELY INDIRECT AND DIRECT WHOLLY OWNED SUBSIDIARIES OF HEITMAN LLC.

HEITMAN INTERNATIONAL REAL ESTATE SECURITIES PTY LIMITED is under common control with the firm.

CRD #:	154476
Business Address:	L27 101 COLLINS STREET MELBOURNE, AUSTRALIA VIC 3000
Effective Date:	07/06/2010
Foreign Entity:	Yes
Country:	AUSTRALIA
Securities Activities:	No
Investment Advisory Activities:	Yes

Firm Operations



Organization Affiliates (continued)

Description: APPLICANT AND HEITMAN INTERNATIONAL REAL ESTATE SECURITIES PTY LIMITED ARE RESPECTIVELY INDIRECT AND DIRECT WHOLLY OWNED SUBSIDIARIES OF HEITMAN LLC.

HEITMAN UK LIMITED is under common control with the firm.

Business Address: 8 HANOVER STREET
LONDON, UNITED KINGDOM W1S 1YQ

Effective Date: 01/20/2009

Foreign Entity: Yes

Country: UNITED KINGDOM

Securities Activities: Yes

Investment Advisory Activities: No

Description: APPLICANT & HEITMAN UK LIMITED ARE RESPECTIVELY INDIRECT AND DIRECT WHOLLY OWNED SUBSIDIARIES OF HEITMAN LLC.

HEITMAN INTERNATIONAL SARL is under common control with the firm.

Business Address: 4 BOULEVARD ROYAL
L-2449
LUXEMBOURG, LUXEMBOURG L-2449

Effective Date: 09/25/2003

Foreign Entity: Yes

Country: LUXEMBOURG

Securities Activities: No

Investment Advisory Activities: Yes

Description: HEITMAN INTERNATIONAL LLC IS THE SOLE MEMBER OF HEITMAN INTERNATIONAL SARL. APPLICANT AND HEITMAN INTERNATIONAL LLC ARE RESPECTIVELY INDIRECT AND DIRECT WHOLLY OWNED SUBSIDIARIES OF HEITMAN LLC.

HEITMAN INTERNATIONAL LLC is under common control with the firm.

CRD #: 170707

Business Address: 110 N WACKER DRIVE
SUITE 4000

Firm Operations**Organization Affiliates (continued)**

CHICAGO, IL 60606

Effective Date: 04/09/2000

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: APPLICANT AND HEITMAN INTERNATIONAL LLC ARE RESPECTIVELY INDIRECT AND DIRECT WHOLLY OWNED SUBSIDIARIES OF HEITMAN LLC.

HEITMAN REAL ESTATE SECURITIES LLC is under common control with the firm.

CRD #: 107134

Business Address: 110 N. WACKER DRIVE
SUITE 4000
CHICAGO, IL 60606

Effective Date: 12/15/1998

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: APPLICANT AND HEITMAN REAL ESTATE SECURITIES LLC ARE RESPECTIVELY INDIRECT AND DIRECT WHOLLY OWNED SUBSIDIARIES OF HEITMAN LLC.

HEITMAN CAPITAL MANAGEMENT LLC is under common control with the firm.

CRD #: 105480

Business Address: 110 N. WACKER DRIVE
SUITE 4000
CHICAGO, IL 60606

Effective Date: 12/17/1998

Foreign Entity: No

Country:

Firm Operations



Organization Affiliates (continued)

Securities Activities: No

Investment Advisory Activities: Yes

Description: APPLICANT & HEITMAN CAPITAL MANAGEMENT LLC ARE RESPECTIVELY INDIRECT AND DIRECT WHOLLY OWNED SUBSIDIARIES OF HEITMAN LLC.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

End of Report



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