

BrokerCheck Report

BESSEMER INVESTOR SERVICES, INC.

CRD# 17442

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Firm Profile	2 - 8
Firm History	9
Firm Operations	10 - 16



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.

-

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.



BESSEMER INVESTOR SERVICES, INC.

CRD# 17442

SEC# 8-35199

Main Office Location

1271 AVENUE OF THE AMERICAS
46 FLOOR
NEW YORK, NY 10020
Regulated by FINRA New York Office

Mailing Address

1271 AVENUE OF THE AMERICAS
46 FLOOR
NEW YORK, NY 10020

Business Telephone Number

212-708-9100

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 corporation.

This firm was formed in Delaware on 04/07/1983.

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
- 53 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 corporation.

This firm was formed in Delaware on 04/07/1983.

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.

BESSEMER INVESTOR SERVICES, INC.

Doing business as BESSEMER INVESTOR SERVICES, INC.

CRD# 17442

SEC# 8-35199

Main Office Location

1271 AVENUE OF THE AMERICAS
46 FLOOR
NEW YORK, NY 10020

Regulated by FINRA New York Office

Mailing Address

1271 AVENUE OF THE AMERICAS
46 FLOOR
NEW YORK, NY 10020

Business Telephone Number

212-708-9100



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):	BESSEMER TRUST COMPANY, N.A.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	04/1983
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):	BOYLE, PATRICK SIDNEY 2472066
Is this a domestic or foreign entity or an individual?	Individual
Position	SENIOR VICE PRESIDENT
Position Start Date	02/2019
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	GLOWACKI, JEFF JOSEPH 2942946
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR/SENIOR VICE PRESIDENT
Position Start Date	02/2019

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? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): GUPTA, RITU
5059699

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

Position CHIEF COMPLIANCE OFFICER/ASSISTANT SECRETARY

Position Start Date 03/2024

Percentage of Ownership Less than 5%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): MARQUEZ, MICHAEL ALLEN
4413060

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

Position DIRECTOR/PRESIDENT

Position Start Date 02/2019

Percentage of Ownership Less than 5%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): MCBRIDE, TIMOTHY SEAN

Firm Profile



Direct Owners and Executive Officers (continued)

	2554176
Is this a domestic or foreign entity or an individual?	Individual
Position	SENIOR VICE PRESIDENT
Position Start Date	01/2021
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
<hr/>	
Legal Name & CRD# (if any):	PEDROSO, ARTURO GUSTAVO 5161708
Is this a domestic or foreign entity or an individual?	Individual
Position	SENIOR VICE PRESIDENT
Position Start Date	02/2025
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
<hr/>	
Legal Name & CRD# (if any):	SCHLUSSELBERG, BRIAN SCOTT 4716582
Is this a domestic or foreign entity or an individual?	Individual
Position	SENIOR VICE PRESIDENT
Position Start Date	02/2025
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): SLOAN, BENJAMIN PERRY
4243057

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

Position SENIOR VICE PRESIDENT

Position Start Date 02/2025

Percentage of Ownership Less than 5%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): SYMINGTON, JANE REILLY
2520317

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

Position SENIOR VICE PRESIDENT

Position Start Date 02/2025

Percentage of Ownership Less than 5%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): TRIMARCO MIRANDO, DIANA
5714209



Firm Profile

Direct Owners and Executive Officers (continued)

Is this a domestic or foreign entity or an individual?	Individual
Position	ASSISTANT TREASURER/ASSISTANT FINANCIAL & OPERATIONS PRINCIPAL
Position Start Date	02/2025
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	YAWORSKY, GEORGE M. 6425195
Is this a domestic or foreign entity or an individual?	Individual
Position	TREASURER/FINANCIAL & OPERATIONS PRINCIPAL
Position Start Date	10/2015
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
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):	THE BESSEMER GROUP, INCORPORATED
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	BESSEMER TRUST COMPANY, N.A.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	04/1983
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 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	04/24/1986

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	07/21/1986



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	10/11/1994
Alaska	Approved	05/05/1997
Arizona	Approved	06/18/1997
Arkansas	Approved	11/18/1994
California	Approved	02/05/1996
Colorado	Approved	04/29/1997
Connecticut	Approved	06/11/1997
Delaware	Approved	09/30/1994
District of Columbia	Approved	07/20/1995
Florida	Approved	02/13/1996
Georgia	Approved	05/01/1997
Hawaii	Approved	08/01/1996
Idaho	Approved	10/26/1994
Illinois	Approved	05/09/1997
Indiana	Approved	06/02/1997
Iowa	Approved	09/30/1994
Kansas	Approved	05/14/1997
Kentucky	Approved	04/10/1997
Louisiana	Approved	09/23/1994
Maine	Approved	10/11/1994
Maryland	Approved	04/28/1997
Massachusetts	Approved	06/10/1997
Michigan	Approved	06/13/1997
Minnesota	Approved	07/22/1997
Mississippi	Approved	06/13/1997
Missouri	Approved	12/11/1996
Montana	Approved	10/21/1994
Nebraska	Approved	02/21/1997
Nevada	Approved	10/24/1994
New Hampshire	Approved	08/28/1996
New Jersey	Approved	07/23/1997
New Mexico	Approved	11/09/1994
New York	Approved	12/04/1985

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	06/23/1997
North Dakota	Approved	08/21/1996
Ohio	Approved	02/22/2001
Oklahoma	Approved	08/28/1995
Oregon	Approved	06/03/1997
Pennsylvania	Approved	10/21/1994
Puerto Rico	Approved	06/15/1998
Rhode Island	Approved	10/26/1994
South Carolina	Approved	10/03/1994
South Dakota	Approved	08/16/1996
Tennessee	Approved	07/16/1997
Texas	Approved	11/17/1994
Utah	Approved	08/08/1996
Vermont	Approved	05/05/1997
Virgin Islands	Approved	12/16/2022
Virginia	Approved	06/28/1996
Washington	Approved	06/12/1997
West Virginia	Approved	08/08/1996
Wisconsin	Approved	05/27/1997
Wyoming	Approved	10/03/1994

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

Private placements of securities



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.

BESSEMER INVESTMENT MANAGEMENT LLC is under common control with the firm.

Business Address:	1271 AVENUE OF THE AMERICAS NEW YORK, NY 10020
Effective Date:	03/22/2001
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	SUBSIDIARY OF BESSEMER TRUST COMPANY, N.A.

This firm is 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

THE BESSEMER GROUP, INCORPORATED, LTD is a Bank Holding Company and controls the firm.

Business Address:	100 WOODBRIDGE CENTER DRIVE WOODBIDGE, NJ 07095-1191
Effective Date:	04/07/1983
Description:	BESSEMER ("BESS") INVSTOR SERVICES A WHOLLY OWNED SUB OF BESS TRUST COMPANY, N.A., A WHOLLY OWNED SUB OF THE BESS GRP, INC., A BANK HLDING COMPANY REGULATED BY FED RSRVE BANK. ADDITIONAL

Firm Operations



Organization Affiliates (continued)

SUBS OF THE BESS GRP, INC. ARE: BESS TRUST COMPANY OF NEVADA, N.A; BESS TRUST COMPANY, WOODBRIDGE, NJ; BESS TRUST COMPANY OF FL., PALM BEACH, FL; BESS TRUST COMPANY OF CA., N.A., SF, CA; BESS TRUST COMPANY OF DE, N.A., WILMINGTON, DE; BESS TRUST COMPANY (CAYMAN) LTD., GRAND CAYMAN; BESS GRP (UK) LMITD (INACTI

BESSEMER TRUST COMPANY, N.A. is a National Bank and controls the firm.

Business Address:	1271 AVENUE OF THE AMERICAS NEW YORK, NY 10020
Effective Date:	04/07/1983
Description:	BESSEMER INVESTOR SERVICES IS A WHOLLY OWNED SUBSIDIARY OF BESSEMER TRUST COMPANY, N.A., WHICH IS A WHOLLY OWNED SUBSIDIARY OF THE BESSEMER GROUP, INCORPORATED, A BANK HOLDING COMPANY REGULATED BY THE FEDERAL RESERVE BANK.

End of Report



This page is intentionally left blank.