

## BrokerCheck Report

# BROWN BROTHERS HARRIMAN INVESTMENTS, LLC

CRD# 282732

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Firm Profile	2 - 24
Firm History	25
Firm Operations	26 - 32
Disclosure Events	33



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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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For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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)



## BROWN BROTHERS HARRIMAN INVESTMENTS, LLC

CRD# 282732

SEC# 8-69731

### Main Office Location

140 BROADWAY  
NEW YORK, NY 10005-1108  
Regulated by FINRA New York Office

### Mailing Address

140 BROADWAY  
NEW YORK, NY 10005-1108

### Business Telephone Number

212 483-1818

## 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 11/09/2015.

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 2 types of businesses.

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**

The number of disclosures from non-registered control affiliates is 2



## Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 11/09/2015.

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.

**BROWN BROTHERS HARRIMAN INVESTMENTS, LLC**

**Doing business as BROWN BROTHERS HARRIMAN INVESTMENTS, LLC**

**CRD#** 282732

**SEC#** 8-69731

### Main Office Location

140 BROADWAY  
NEW YORK, NY 10005-1108

**Regulated by FINRA New York Office**

### Mailing Address

140 BROADWAY  
NEW YORK, NY 10005-1108

### Business Telephone Number

212 483-1818



## 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):** BROWN BROTHERS HARRIMAN & CO.

**Is this a domestic or foreign entity or an individual?** Domestic Entity

**Position** SOLE MEMBER

**Position Start Date** 11/2015

**Percentage of Ownership** 75% or more

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

**Is this a public reporting company?**

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**Legal Name & CRD# (if any):** GREIFENKAMP, DANIEL JOSEPH

2180478

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

**Position** CEO, CHAIRMAN OF THE BOARD

**Position Start Date** 11/2015

**Percentage of Ownership** Less than 5%

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

**Is this a public reporting company?**

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**Legal Name & CRD# (if any):** HUTSON, JOSHUA EYARE

2912952

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

**Position** CCO

**Position Start Date** 11/2015

## 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?**

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**Legal Name & CRD# (if any):** KRUCZEK, ROBERT PATRICK  
2389311

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

**Position** DIRECTOR

**Position Start Date** 05/2017

**Percentage of Ownership** Less than 5%

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

**Is this a public reporting company?**

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**Legal Name & CRD# (if any):** MESKIN, JEFFREY BRYAN  
2855280

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

**Position** DIRECTOR

**Position Start Date** 01/2011

**Percentage of Ownership** Less than 5%

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

**Is this a public reporting company?**

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**Legal Name & CRD# (if any):** PUSTORINO, PAUL JAMES

## Firm Profile



### Direct Owners and Executive Officers (continued)

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<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	PRINCIPAL FINANCIAL OFFICER AND PRINCIPAL OPERATIONS OFFICER
<b>Position Start Date</b>	04/2021
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	

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<b>Legal Name &amp; CRD# (if any):</b>	SCHOENFELD, JEFFREY ALAN 2490214
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	DIRECTOR
<b>Position Start Date</b>	11/2015
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	

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## Firm Profile

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

### Indirect Owners

<b>Legal Name &amp; CRD# (if any):</b>	BBH PRINCIPALS LP
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Company through which indirect ownership is established</b>	BBH & CO
<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	05/2023
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	BERK, THOMAS ERIC 4906624
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	BBH & CO.
<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/2005
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	

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<b>Legal Name &amp; CRD# (if any):</b>	BODMAN, TAYLOR STOCKWELL 2589796
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## Firm Profile



### Indirect Owners (continued)

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

**Company through which indirect ownership is established** BBH & CO.

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/1999

**Percentage of Ownership** Other General Partners

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

**Is this a public reporting company?**

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**Legal Name & CRD# (if any):** BRENNER, SUZANNE ELIZABETH  
6930021

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

**Company through which indirect ownership is established** BBH & CO

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/2019

**Percentage of Ownership** Other General Partners

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

**Is this a public reporting company?**

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**Legal Name & CRD# (if any):** BRUNET, CHRISTIAN MICHAEL  
5108639

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

## Firm Profile



### Indirect Owners (continued)

<b>Company through which indirect ownership is established</b>	BBH & CO.
<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/2024
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	CAPAY, HILARY MARTELL 3046068
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<b>Is this a domestic or foreign entity or an individual?</b>	Individual
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<b>Company through which indirect ownership is established</b>	BBH & CO.
<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/2024
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	CARLOTTI, VALENTINO DINO 1968608
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<b>Is this a domestic or foreign entity or an individual?</b>	Individual
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<b>Company through which indirect ownership is established</b>	BBH & CO.
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## Firm Profile



### Indirect Owners (continued)

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/2021

**Percentage of Ownership** Other General Partners

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

**Is this a public reporting company?**

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**Legal Name & CRD# (if any):** CLEMONS, GAVIN SCOTT  
2152999

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

**Company through which indirect ownership is established** BBH & CO

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/2019

**Percentage of Ownership** Other General Partners

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

**Is this a public reporting company?**

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**Legal Name & CRD# (if any):** COOK, GEOFFREY MACKENZIE  
4599503

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

**Company through which indirect ownership is established** BBH & CO.

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/2009

## Firm Profile



### Indirect Owners (continued)

**Percentage of Ownership** Other General Partners

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

**Is this a public reporting company?**

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**Legal Name & CRD# (if any):** CREPIN, JEAN MARC  
6442317

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

**Company through which indirect ownership is established** BBH & CO.

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/2015

**Percentage of Ownership** Other General Partners

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

**Is this a public reporting company?**

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**Legal Name & CRD# (if any):** DAVIS, THOMAS JAMES  
5407863

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

**Company through which indirect ownership is established** BBH & CO

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/2023

**Percentage of Ownership** Other General Partners

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

## Firm Profile



### Indirect Owners (continued) the firm?

Is this a public reporting  
company?

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**Legal Name & CRD# (if any):** DONAHUE, DOUGLAS AIDAN JR.  
2074744

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

**Company through which  
indirect ownership is  
established** BBH & CO.

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/1990

**Percentage of Ownership** Other General Partners

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

Is this a public reporting  
company?

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**Legal Name & CRD# (if any):** FOLEY, ORLA E  
7852886

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

**Company through which  
indirect ownership is  
established** BBH & CO.

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/2024

**Percentage of Ownership** Other General Partners

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

Is this a public reporting  
company? No

## Firm Profile



### Indirect Owners (continued)

**Legal Name & CRD# (if any):** GEORGE, KATHRYN CAROLYN  
4308333

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

**Company through which indirect ownership is established** BBH & CO.

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/2007

**Percentage of Ownership** Other General Partners

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

**Is this a public reporting company?**

**Legal Name & CRD# (if any):** GORDON, LORRIE LYNN  
5594235

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

**Company through which indirect ownership is established** BBH & CO

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/2019

**Percentage of Ownership** Other General Partners

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

**Is this a public reporting company?**

**Legal Name & CRD# (if any):** GOTHARD, CHRISTOPHER NEIL AVERILL  
7683879

## Firm Profile



### Indirect Owners (continued)

<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	BBH & CO
<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/2023
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	

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<b>Legal Name &amp; CRD# (if any):</b>	HART, LEWIS JUSTICE III 4985092
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<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	BBH & CO.
<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/2025
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	

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<b>Legal Name &amp; CRD# (if any):</b>	HOHMANN, NEIL M 5182887
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<b>Is this a domestic or foreign entity or an individual?</b>	Individual
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## Firm Profile

### Indirect Owners (continued)

<b>Company through which indirect ownership is established</b>	BBH & CO.
<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/2024
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No
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<b>Legal Name &amp; CRD# (if any):</b>	HYDER, WILLIAM HAMPTON 2644749
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	BBH & CO.
<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/2024
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No
<hr/>	
<b>Legal Name &amp; CRD# (if any):</b>	IZARD, CHARLES OWEN 1131624
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	BBH & CO.



## Firm Profile



### Indirect Owners (continued)

<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/2004
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	

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<b>Legal Name &amp; CRD# (if any):</b>	KLOTZ, RADFORD WERNER 2615201
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<b>Is this a domestic or foreign entity or an individual?</b>	Individual
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<b>Company through which indirect ownership is established</b>	BBH & CO.
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<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/1995
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	

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<b>Legal Name &amp; CRD# (if any):</b>	LANGER, BRADLEY M 6662216
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<b>Is this a domestic or foreign entity or an individual?</b>	Individual
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<b>Company through which indirect ownership is established</b>	BBH & CO.
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<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/2024



## Firm Profile

### Indirect Owners (continued)

**Percentage of Ownership** Other General Partners

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

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** LYNCH, HAMPTON SIMPSON JR.  
2794116

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

**Company through which indirect ownership is established** BBH & CO.

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/1994

**Percentage of Ownership** Other General Partners

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

**Is this a public reporting company?**

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**Legal Name & CRD# (if any):** MCCABE, CHRISTOPHER JOHN  
3046103

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

**Company through which indirect ownership is established** BBH & CO.

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/2025

**Percentage of Ownership** Other General Partners

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

## Firm Profile



### Indirect Owners (continued) the firm?

Is this a public reporting  
company?

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**Legal Name & CRD# (if any):** MCDONALD, MICHAEL JAMES  
4308330

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

**Company through which  
indirect ownership is  
established** BBH & CO

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/2019

**Percentage of Ownership** Other General Partners

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

Is this a public reporting  
company?

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**Legal Name & CRD# (if any):** MESKIN, JEFFREY BRYAN  
2855280

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

**Company through which  
indirect ownership is  
established** BBH & CO.

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/2011

**Percentage of Ownership** Other General Partners

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

Is this a public reporting  
company?

## Firm Profile



### Indirect Owners (continued)

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<b>Legal Name &amp; CRD# (if any):</b>	NAGAHISA, YUKINORI 1921275
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	BBH & CO.
<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/2004
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	

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<b>Legal Name &amp; CRD# (if any):</b>	PAIRCEIR, SEAN NMN 5775877
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	BBH & CO.
<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/2010
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	

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<b>Legal Name &amp; CRD# (if any):</b>	REED, JUSTIN V. 5019571
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## Firm Profile



### Indirect Owners (continued)

<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	BBH & CO
<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/2023
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	

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<b>Legal Name &amp; CRD# (if any):</b>	REMONDI, CHRISTOPHER CHARLES 4308313
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<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	BBH & CO.
<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/2012
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	

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<b>Legal Name &amp; CRD# (if any):</b>	SCHOENFELD, JEFFREY ALAN 2490214
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<b>Is this a domestic or foreign entity or an individual?</b>	Individual
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## Firm Profile

### Indirect Owners (continued)

<b>Company through which indirect ownership is established</b>	BBH & CO.
<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/1996
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	

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<b>Legal Name &amp; CRD# (if any):</b>	SONOBE, NORIYASU MR 7327325
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<b>Is this a domestic or foreign entity or an individual?</b>	Individual
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<b>Company through which indirect ownership is established</b>	BBH & CO.
<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/2021
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	

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<b>Legal Name &amp; CRD# (if any):</b>	STONE, KEVIN W 2395249
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<b>Is this a domestic or foreign entity or an individual?</b>	Individual
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<b>Company through which indirect ownership is established</b>	BBH & CO.
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## Firm Profile



### Indirect Owners (continued)

<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/2009
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	

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<b>Legal Name &amp; CRD# (if any):</b>	SULLIVAN, WILLIAM CARTER III 2641535
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<b>Is this a domestic or foreign entity or an individual?</b>	Individual
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<b>Company through which indirect ownership is established</b>	BBH & CO.
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<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/2000
<b>Percentage of Ownership</b>	Other General Partners
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	

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<b>Legal Name &amp; CRD# (if any):</b>	TUCKER, ANDREW JAMES FRANCIS 2588190
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<b>Is this a domestic or foreign entity or an individual?</b>	Individual
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<b>Company through which indirect ownership is established</b>	BBH & CO.
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<b>Relationship to Direct Owner</b>	PARTNER
<b>Relationship Established</b>	01/1998

## Firm Profile



### Indirect Owners (continued)

**Percentage of Ownership** Other General Partners

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

**Is this a public reporting company?**

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**Legal Name & CRD# (if any):** TYREE, WILLIAM BROPHY  
2743965

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

**Company through which indirect ownership is established** BBH & CO.

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/2001

**Percentage of Ownership** Other General Partners

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

**Is this a public reporting company?**

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**Legal Name & CRD# (if any):** VELEZ, MAROA DEL CARMEN  
5469051

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

**Company through which indirect ownership is established** BBH & CO.

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/2008

**Percentage of Ownership** Other General Partners

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



## Firm Profile



### Indirect Owners (continued) the firm?

Is this a public reporting  
company?

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**Legal Name & CRD# (if any):** WHELAN, WILLIAM JOSEPH JR.  
2588916

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

**Company through which  
indirect ownership is  
established** BBH & CO.

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/2000

**Percentage of Ownership** Other General Partners

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

**Is this a public reporting  
company?**

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**Legal Name & CRD# (if any):** WITMER, RICHARD HOWELL JR.  
1900002

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

**Company through which  
indirect ownership is  
established** BBH & CO.

**Relationship to Direct Owner** PARTNER

**Relationship Established** 01/1998

**Percentage of Ownership** Other General Partners

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

**Is this a public reporting  
company?**

**Firm Profile**



**Indirect Owners (continued)**

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## 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	05/02/2016

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	05/02/2016



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	05/16/2016
Alaska	Approved	06/07/2016
Arizona	Approved	05/25/2016
Arkansas	Approved	06/02/2016
California	Approved	05/31/2016
Colorado	Approved	05/18/2016
Connecticut	Approved	06/30/2016
Delaware	Approved	06/03/2016
District of Columbia	Approved	06/08/2016
Florida	Approved	08/10/2016
Georgia	Approved	06/06/2016
Hawaii	Approved	05/26/2016
Idaho	Approved	05/16/2016
Illinois	Approved	05/13/2016
Indiana	Approved	06/10/2016
Iowa	Approved	05/12/2016
Kansas	Approved	05/26/2016
Kentucky	Approved	05/23/2016
Louisiana	Approved	07/14/2016
Maine	Approved	06/09/2016
Maryland	Approved	06/09/2016
Massachusetts	Approved	06/23/2016
Michigan	Approved	06/07/2016
Minnesota	Approved	05/16/2016
Mississippi	Approved	05/24/2016
Missouri	Approved	05/27/2016
Montana	Approved	05/12/2016
Nebraska	Approved	06/29/2016
Nevada	Approved	07/18/2016
New Hampshire	Approved	05/23/2016
New Jersey	Approved	06/14/2016
New Mexico	Approved	05/11/2016
New York	Approved	05/11/2016

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	05/31/2016
North Dakota	Approved	05/16/2016
Ohio	Approved	05/23/2016
Oklahoma	Approved	05/17/2016
Oregon	Approved	05/03/2016
Pennsylvania	Approved	05/25/2016
Puerto Rico	Approved	05/27/2016
Rhode Island	Approved	05/02/2016
South Carolina	Approved	06/01/2016
South Dakota	Approved	05/12/2016
Tennessee	Approved	06/01/2016
Texas	Approved	05/23/2016
Utah	Approved	05/12/2016
Vermont	Approved	06/17/2016
Virgin Islands	Approved	06/24/2016
Virginia	Approved	06/01/2016
Washington	Approved	05/24/2016
West Virginia	Approved	06/03/2016
Wisconsin	Approved	05/12/2016
Wyoming	Approved	03/16/2016

## 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 2 types of businesses.**

#### Types of Business

Mutual fund retailer
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 have books or records maintained by a third party.**

<b>Name:</b>	CORESITE
<b>Business Address:</b>	2 EMERSON LN SECAUCUS, NJ 07094
<b>Effective Date:</b>	06/26/2021
<b>Description:</b>	BACK-UP DATA CENTER.
<b>Name:</b>	ACA TECHNOLOGY
<b>Business Address:</b>	1370 BROADWAY, 12TH FLOOR NEW YORK, NY 10018
<b>Effective Date:</b>	10/06/2017
<b>Description:</b>	ADVERTISING REVIEW AND STORAGE SOLUTION.
<b>Name:</b>	SMARSH
<b>Business Address:</b>	100 WILLIAM STREET, SUITE 1804 NEW YORK, NY 10038
<b>Effective Date:</b>	09/01/2016
<b>Description:</b>	OFF-SITE EMAIL ARCHIVE.
<b>Name:</b>	IRON MOUNTAIN INTELLECTUAL PROPERTY MGMT, INC.
<b>Business Address:</b>	2100 NORCROSS PKWY # 150 NORCROSS, GA 30071
<b>Effective Date:</b>	09/01/2016
<b>Description:</b>	OFF-SITE PAPER RECORD RETENTION.

**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.**

**BROWN BROTHERS HARRIMAN & CO. is under common control with the firm.**

<b>CRD #:</b>	111231
<b>Business Address:</b>	BROWN BROTHERS HARRIMAN MUTUAL FUND ADVISORY DEPAR 140 BROADWAY NEW YORK, NY 10005
<b>Effective Date:</b>	11/09/2015
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	THE BROWN BROTHERS HARRIMAN MUTUAL FUND ADVISORY DEPARTMENT IS A SEPARATELY IDENTIFIABLE DEPARTMENT OF BROWN BROTHERS HARRIMAN & CO.

**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

**BROWN BROTHERS HARRIMAN & CO. is a State Non Member Bank and controls the firm.**

<b>Business Address:</b>	140 BROADWAY NEW YORK, NY 10005-1108
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## Firm Operations



### Organization Affiliates (continued)

**Effective Date:** 10/10/1818

**Description:** BROWN BROTHERS HARRIMAN & CO. IS THE SOLE MEMBER OF THE APPLICANT AND ITS PARENT COMPANY.

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Disclosure Events for Non-Registered Control Affiliates



All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	2	0



## Disclosure Event Details

### Regulatory - Final

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Firm
<b>Affiliate:</b>	BROWN BROTHERS HARRIMAN & CO.
<b>Current Status:</b>	Final
<b>Allegations:</b>	IN SEPTEMBER 2014, THE SEC ALLEGED THAT BROWN BROTHERS HARRIMAN & CO. FAILED TO MAKE CERTAIN SECTION 13 AND SECTION 16 FILINGS OF ITS PROPRIETARY AND AFFILIATED EQUITY HOLDINGS UNDER THE SECURITIES EXCHANGE ACT OF 1934 ON A TIMELY BASIS.
<b>Initiated By:</b>	SEC
<b>Date Initiated:</b>	09/10/2014
<b>Docket/Case Number:</b>	3-16076
<b>Principal Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Principal Sanction(s)/Relief Sought:</b>	Cease and Desist
<b>Other Sanction(s)/Relief Sought:</b>	
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Resolution Date:</b>	09/10/2014
<b>Sanctions Ordered:</b>	Monetary/Fine \$120,000.00 Cease and Desist/Injunction
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	CIVIL MONEY PENALTY IN THE AMOUNT OF \$120,000. THE FIRM PAID THE FINE IN FULL ON OCTOBER 21, 2014.
<b>Firm Statement</b>	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM ENTERED INTO A SETTLEMENT AGREEMENT WITH THE SEC AND PAID A CIVIL PENALTY OF \$120,000.

#### Disclosure 2 of 2

<b>Reporting Source:</b>	Firm
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<b>Affiliate:</b>	BROWN BROTHERS HARRIMAN & CO.
<b>Current Status:</b>	Final
<b>Allegations:</b>	IN FEBRUARY OF 2014, FINRA ALLEGED THAT THE FIRM FAILED TO ESTABLISH AND IMPLEMENT AN ADEQUATE AML PROGRAM AS REQUIRED BY NASD RULE 3011(A) AND FINRA RULES 3310(A) AND 2010; TO ADEQUATELY SUPERVISE ACTIVITY IN FOREIGN FINANCIAL INSTITUTION ACCOUNTS AS REQUIRED BY NASD RULE 3011(B) AND FINRA RULES 3310(B) AND 2010; TO CONDUCT ADEQUATE AML TESTING AS REQUIRED BY NASD RULE 3011(C) AND FINRA RULES 3310(C) AND 2010; TO CONDUCT ADEQUATE AML TRAINING AS REQUIRED BY NASD RULE 3011(E) AND FINRA RULES 3310(E) AND 2010; AND, TO ESTABLISH, MAINTAIN AND ENFORCE A SUPERVISORY SYSTEM TO ACHIEVE COMPLIANCE WITH SECTION 5 OF THE SECURITIES ACT OF 1933, AS REQUIRED BY NASD RULE 3010 AND FINRA RULE 2010.
<b>Initiated By:</b>	FINRA
<b>Date Initiated:</b>	02/04/2014
<b>Docket/Case Number:</b>	<a href="#">2013035821401</a>
<b>Principal Product Type:</b>	Penny Stock(s)
<b>Other Product Type(s):</b>	
<b>Principal Sanction(s)/Relief Sought:</b>	Censure
<b>Other Sanction(s)/Relief Sought:</b>	
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Resolution Date:</b>	02/04/2014
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$8,000,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	CENSURE AND FINE IN THE AMOUNT OF \$8,000,000. THE FIRM PAID THE FINE IN FULL ON FEBRUARY 12, 2014.
<b>Firm Statement</b>	THE FIRM RESOLVED THE MATTER WITHOUT ADMITTING OR DENYING THE FINDINGS OR LIABILITY AND PAID A FINE OF \$8 MILLION. THE FIRM FILED A CORRECTIVE ACTION STATEMENT WITH THE AWC, NOTING THE VARIOUS STEPS BBH HAD TAKEN, OR WAS TAKING, TO ADDRESS FINRA'S CHARGES.

## End of Report



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