

BrokerCheck Report

HARRY HANZLIK CARUSO

CRD# 5938397

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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.

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)

HARRY H. CARUSO

CRD# 5938397

Currently employed by and registered with the following Firm(s):

- B BRITEHORN SECURITIES**
1401 LAWRENCE ST
SUITE 1600
DENVER, CO 80202
CRD# 36402
Registered with this firm since: 04/26/2021

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 9 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History**This broker was previously registered with the following securities firm(s):**

- B CITIGROUP GLOBAL MARKETS INC.**
CRD# 7059
NEW YORK, NY
08/2013 - 05/2014

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 9 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **BRITEHORN SECURITIES**

Main Office Address: **1401 LAWRENCE ST
SUITE 1600
DENVER, CO 80202**

Firm CRD#: **36402**

SRO	Category	Status	Date
B FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	04/26/2021

U.S. State/ Territory	Category	Status	Date
B Colorado	Agent	Approved	03/03/2025
B Florida	Agent	Approved	07/09/2021
B Indiana	Agent	Approved	01/05/2026
B Michigan	Agent	Approved	05/19/2025
B Missouri	Agent	Approved	02/25/2026
B Nebraska	Agent	Approved	10/22/2025
B New York	Agent	Approved	04/26/2021
B Texas	Agent	Approved	03/16/2023
B Utah	Agent	Approved	10/22/2025

Branch Office Locations

BRITEHORN SECURITIES

Broker Qualifications



Employment 1 of 1, continued

1401 LAWRENCE ST
SUITE 1600
DENVER, CO 80202



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Limited Representative-Private Securities Offerings	Series 82TO	04/26/2021
B Securities Industry Essentials Examination	SIE	03/22/2021
B Investment Banking Registered Representative Examination	Series 79	08/12/2013

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	03/28/2021

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 08/2013 - 05/2014	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
04/2021 - Present	Britehorn Securities	Registered Representative	Y	Denver, CO, United States
08/2019 - Present	Car Wash Advisory	Founder	N	New York City, NY, United States
03/2021 - 05/2022	CWA Capital Partners LLC	Owner	Y	Miami, FL, United States
05/2019 - 07/2019	Unemployed	Unemployed	N	Fairfield, CT, United States
08/2017 - 04/2019	Parallel Laboratories	Head of Product	N	New York City, NY, United States
04/2017 - 07/2017	Unemployed	Unemployed	N	Fairfield, CT, United States
07/2016 - 03/2017	Column Park Asset Management	Analyst	Y	New York City, NY, United States
03/2015 - 06/2016	Unemployed	Unemployed	N	New York City, NY, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

1) Founder and Owner of CWA Holdings, LLC - a holding company and 100% owner of subsidiary Car Wash Advisory, LLC (www.carwashadvisory.com) since 08/2019. Conducts both investment- and non-investment-related activities. Operated from home. This is a full-service operational and financial consulting firm focused on the car wash industry. The Consulting Division provides operational and consulting



Registration and Employment History

Other Business Activities, continued

services to current and to-be car wash operators, owners, and related companies focusing on operational optimization. The Financial Consulting Division provides support to current and to-be owners and operators via the assistance of loan obtainment or acting as an M&A broker. Also acts as a referral partner in the car wash industry for non-securities related activities, such as customers for WashMetrix software. All M&A and other securities-related activities are overseen by Britehorn Securities.

2) Head of Capital Markets for TAG Calibrations since April 2024. Working from home, approximately 3 hours per month. Unpaid, but awarded of 9% equity in the venture in exchange for services, which include arrangement of development and construction financing for new facility builds, orchestration of legal entity documentation, arrangement of sale-and-leaseback REIT partners to help purchase land, etc. All financing is solicited solely from institutional REITs (with no commissions) and not in affiliation with Britehorn.

3) Managing Director of Caruso & Co since March 2025 - a sell-side advisory and consulting firm targeting industries outside of just car washes. Duties include sourcing and winning client mandates, leading deal execution, and managing client relationships. Compensation includes discretionary owner draws, retainers, and success-based commissions. All M&A and other securities-related activities are being supervised by Britehorn Securities. Operated from home. Approximately 10 hours per month. Carusoandco.com

4) Principal of Nocturne Holdings LLC since March 2025. Nocturne Holdings is a private investment vehicle that manages a series of SPVs focused on acquiring and originating credit notes and loans. Harry Caruso is the 100% equity interest owner and the General Partner is an LP/GP structure, investing 1-2% of the total raise per SPV. Role includes overseeing investment strategy, capital formation, portfolio management, opportunity evaluation, and relationship management across the series of SPVs. Compensation is solely through GP Management performance fee. Investment related. NOT supervised by Britehorn Securities, as no success-based compensation is received for any securities-related work, and this is clearly stated on website and in all marketing materials. Operated from home. Approximately 3 hours per month. www.nocturne.holdings

End of Report



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