

**BrokerCheck Report**  
**Carrick J Pierce**

CRD# 4585215

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## 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](http://brokercheck.finra.org)



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).

# Carrick J Pierce

CRD# 4585215

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

**B** **FIRST REPUBLIC SECURITIES COMPANY, LLC**  
 111 PINE STREET  
 SAN FRANCISCO, CA 94111  
 CRD# 105108  
 Registered with this firm since: 11/12/2002

**IA** **FIRST REPUBLIC INVESTMENT MANAGEMENT, INC.**  
 111 PINE ST, 10TH FLOOR  
 SAN FRANCISCO, CA 94111  
 CRD# 108559  
 Registered with this firm since: 09/30/2010

## 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<sup>30</sup>
- U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 2 General Industry/Product Exams<sup>2</sup>
- State Securities Law Exams

### Registration History

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

**IA** **FIRST REPUBLIC WEALTH ADVISORS, LLC**  
 CRD# 132035  
 SAN FRANCISCO, CA  
 10/2004 - 09/2010



### 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 30 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **FIRST REPUBLIC INVESTMENT MANAGEMENT, INC.**  
 Main Office Address: **111  
 PINE STREET  
 SAN FRANCISCO, CA 94111-5602**  
 Firm CRD#: **108559**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	09/30/2010
IA	Connecticut	Investment Adviser Representative	Approved	04/04/2014
IA	Florida	Investment Adviser Representative	Approved	05/01/2014
IA	Massachusetts	Investment Adviser Representative	Approved	04/15/2014

### Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

### Employment 2 of 2

Firm Name: **FIRST REPUBLIC SECURITIES COMPANY, LLC**  
 Main Office Address: **111 PINE STREET  
 SAN FRANCISCO, CA 94111**  
 Firm CRD#: **105108**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	11/12/2002
B	FINRA	General Securities Principal	Approved	01/27/2016



## Broker Qualifications

### Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
	Arizona	Agent	Approved	01/19/2021
	California	Agent	Approved	01/13/2003
	Colorado	Agent	Approved	07/28/2006
	Connecticut	Agent	Approved	03/06/2017
	Delaware	Agent	Approved	01/02/2014
	District of Columbia	Agent	Approved	04/27/2021
	Florida	Agent	Approved	05/31/2018
	Georgia	Agent	Approved	08/08/2016
	Hawaii	Agent	Approved	05/31/2018
	Idaho	Agent	Approved	12/27/2018
	Indiana	Agent	Approved	04/27/2021
	Louisiana	Agent	Approved	03/16/2016
	Maryland	Agent	Approved	06/30/2010
	Massachusetts	Agent	Approved	01/24/2014
	Nevada	Agent	Approved	01/18/2017
	New Hampshire	Agent	Approved	02/06/2017
	New Jersey	Agent	Approved	02/23/2015
	New York	Agent	Approved	07/26/2012
	North Carolina	Agent	Approved	09/06/2016
	Ohio	Agent	Approved	10/28/2013
	Oklahoma	Agent	Approved	02/14/2022



## Broker Qualifications

### Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Oregon	Agent	Approved	07/26/2012
B	Pennsylvania	Agent	Approved	01/06/2021
B	South Carolina	Agent	Approved	03/11/2015
B	South Dakota	Agent	Approved	04/17/2017
B	Texas	Agent	Approved	10/28/2013
B	Utah	Agent	Approved	09/15/2020
B	Washington	Agent	Approved	01/24/2014
B	Wisconsin	Agent	Approved	03/08/2022
B	Wyoming	Agent	Approved	10/23/2017

### Branch Office Locations

#### FIRST REPUBLIC SECURITIES COMPANY, LLC

111 PINE STREET  
SAN FRANCISCO, CA 94111

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## 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.

**This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.**



### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination	Series 24	01/27/2016

### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination	SIE	10/01/2018
 General Securities Representative Examination	Series 7	11/09/2002

### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination	Series 65	10/21/2004
 Uniform Securities Agent State Law Examination	Series 63	01/10/2003

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/](http://www.finra.org/brokerqualifications/registeredrep/).



## Broker Qualifications

## Professional Designations

This section details that the representative has reported **1** professional designation(s).

### Certified Financial Planner

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This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>





## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
 10/2004 - 09/2010	FIRST REPUBLIC WEALTH ADVISORS, LLC	132035	SAN FRANCISCO, CA

### 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
04/2017 - Present	First Republic Investment Management, Inc.	Wealth Manager	Y	San Francisco, CA, United States
04/2017 - Present	First Republic Securities Company, LLC	Wealth Manager	Y	San Francisco, CA, United States
09/2010 - 04/2017	FIRST REPUBLIC INVESTMENT MANAGEMENT, INC.	WEALTH ADVISORY	Y	SAN FRANCISCO, CA, CA, United States
08/2004 - 04/2017	FIRST REPUBLIC INVESTMENT ADVISORS, LLC	INVESTMENT ADVISER	Y	SAN FRANCISCO, CA, United States
09/2002 - 04/2017	FIRST REPUBLIC SECURITIES CO LLC	REGISTERED REP	Y	SAN FRANCISCO, CA, United States
04/2002 - 04/2017	FIRST REPUBLIC BANK	PROJECT MANAGER/ACCT EXEC	N	SAN FRANCISCO, CA, 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.

I am a registered representative of First Republic Securities Company, LLC, an SEC and FINRA registered broker-dealer. I am an associated person of First Republic Investment Management, Inc. (Firm CRD# 108559), an SEC registered investment adviser. The majority of my time is devoted to activities for First Republic Investment Management, Inc. Both First Republic Securities Company, LLC and First Republic Investment Management, Inc. are under 'common control' of First Republic Bank.

## Registration and Employment History



## End of Report



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