User Guidance

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IAPD Report

Scott Kirk Shriver

CRD# 2088848

Section Title / Page(s)

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.

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

Scott Kirk Shriver (CRD# 2088848)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **11/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	FIRST CITIZENS INVESTOR SERVICES, INC.	CRD# 44430	03/28/2018
IA	FIRST CITIZENS INVESTOR SERVICES, INC.	CRD# 44430	03/28/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	MORGAN STANLEY	149777	CHARLOTTESVILLE, VA	10/19/2017 - 03/19/2018
IA	MORGAN STANLEY	149777	CHARLOTTESVILLE, VA	10/18/2017 - 03/19/2018
IA	MBSC SECURITIES CORPORATION	231	KESWICK, VA	01/04/2007 - 12/23/2016

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **12** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **FIRST CITIZENS INVESTOR SERVICES, INC.**

Main Address: 8540 COLONNADE CENTER DRIVE
RALEIGH, NC 27615-3052

Firm ID#: 44430

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/28/2018
B	FINRA	General Securities Sales Supervisor	Approved	02/12/2019
B	Arizona	Agent	Approved	10/26/2020
B	Colorado	Agent	Approved	03/07/2025
B	Delaware	Agent	Approved	12/19/2024
B	Florida	Agent	Approved	03/28/2018
B	Georgia	Agent	Approved	05/31/2019
B	Maryland	Agent	Approved	03/28/2018
B	New Mexico	Agent	Approved	06/08/2018
B	North Carolina	Agent	Approved	03/28/2018
B	Pennsylvania	Agent	Approved	09/13/2021
B	Virginia	Agent	Approved	03/28/2018
IA	Virginia	Investment Adviser Representative	Approved	03/28/2018

Qualifications

	Regulator	Registration	Status	Date
B	Washington	Agent	Approved	10/16/2023
B	West Virginia	Agent	Approved	03/28/2018

Branch Office Locations

FIRST CITIZENS INVESTOR SERVICES, INC.
2101 Dominion Dr
Charlottesville, VA 22901

FIRST CITIZENS INVESTOR SERVICES, INC.
10501 Patterson Ave
Richmond, VA 23238

FIRST CITIZENS INVESTOR SERVICES, INC.
11776 West Broad Street
Richmond, VA 23233

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	05/08/2003
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	04/24/2003

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	07/07/1995
B	General Securities Representative Examination (S7)	Series 7	04/25/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/18/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/13/1994

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	10/19/2017 - 03/19/2018	MORGAN STANLEY	CRD# 149777	CHARLOTTESVILLE, VA
IA	10/18/2017 - 03/19/2018	MORGAN STANLEY	CRD# 149777	CHARLOTTESVILLE, VA
IA	01/04/2007 - 12/23/2016	MBSC SECURITIES CORPORATION	CRD# 231	KESWICK, VA
B	11/06/2006 - 12/23/2016	MBSC SECURITIES CORPORATION	CRD# 231	NEW YORK, NY
IA	04/24/2000 - 05/25/2006	MORGAN STANLEY	CRD# 7556	PURCHASE, NY
B	03/29/2000 - 05/25/2006	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	04/27/1994 - 03/30/2000	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2025 - Present	TRUE LACROSSE	Employee	N	Keswick, VA, United States
03/2018 - Present	First Citizens Investor Services	Senior Financial Advisor	Y	Raleigh, NC, United States
07/2017 - 03/2018	Morgan Stanley Private Bank, National Association	Financial Advisor Associate	Y	NEW YORK, NY, United States
07/2017 - 03/2018	Morgan Stanley Smith Barney LLC	FAA	Y	CHARLOTTESVILLE, VA, United States
11/2016 - 07/2017	Unemployed	UNEMPLOYED	N	CHARLOTTESVILLE, VA, United States
07/2007 - 11/2016	MBSC SECURITIES CORPORATION	WHOLESALER	Y	NEW YORK, NY, United States

Registration & Employment History

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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) University of Virginia Athletics, 300 Massie Rd. Athletics Office, Charlottesville, VA 22904. Position is an employee as a Scoreboard Operator for football, basketball and lacrosse teams at UVA. Started 9/1/2009. 12 hrs/month, 0 hrs/month during trading. Not investment related. Not a client of the firm. Compensation is hourly wage.

2) DV SPORT
POSITION: Contractor NATURE: Coaching, Refereeing or Volunteering INVESTMENT RELATED: No NUMBER OF HOURS: 8 SECURITIES TRADING HOURS: 0 START DATE: 08/16/2024
ADDRESS: 1 SCOTT STADIUM DRIVE, Charlottesville VA 22902, United States
DESCRIPTION: I will be working the UVA sidelines during football in charge of the Microsoft tablets during game day working with UVA football players and coaches

3) TRUE LACROSSE
POSITION: Employee NATURE: Coaching, Refereeing or Volunteering INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 01/05/2025
ADDRESS: 3418 Sandown Park Road, Keswick VA 22947, United States
DESCRIPTION: True Lacrosse is a national lacrosse organization that allows players to travel to tournaments and attend skills clinics.

4) ALBEMARLE LACROSSE
POSITION: Lacrosse Coach NATURE: Coaching, Refereeing or Volunteering INVESTMENT RELATED: No NUMBER OF HOURS: 12 SECURITIES TRADING HOURS: 0 START DATE: 02/01/2025
ADDRESS: 2775 Hydraulic Road, Charlottesville VA 22901, United States
DESCRIPTION: COACH - Lacrosse coach for a local HS

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	Commonwealth of Virginia
Sanction(s) Sought:	Monetary Penalty other than Fines
Date Initiated:	12/09/2021
Docket/Case Number:	INS-2021-00147
Employing firm when activity occurred which led to the regulatory action:	First Citizens Investor Services
Product Type:	Annuity-Fixed
Allegations:	VA 38.2-502.1 Misrepresentation of the benefits, advantages, conditions or terms of an insurance policy. a) Allegation that the surrender schedule following the initial 3 year term was not fully disclosed to three clients b) Agent Shriver did not personally meet with four clients to verify identities and verify suitability of the transactions. VA 38.2.2-512 Misrepresentation in insurance documents or communications. Agent Shriver signed applications without personally meeting clients though the certification indicated he had.
Current Status:	Final
Resolution:	Settled

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	01/25/2022
Sanctions Ordered:	Other: Settlement Order-$1,000 USD
Broker Statement	?On January 25, 2022 I settled an investigation by the Virginia Bureau of Insurance into certain minor alleged violations. As part of the settlement, I made a monetary donation to the Commonwealth at their request and did not admit to any violation of Virginia law or the state's insurance regulations. ?The alleged violations of Virginia's investigation had nothing to with client funds or any breach of trust. The alleged violations were minor and I maintained my license in Virginia [and the other states I was licensed at the time]. oThe Bureau alleged that I failed to adequately explain the surrender charge schedule to three clients, even though I relied on the insurance company's written and approved surrender charge disclosures which are standard in our industry. These were regarding simple MYGA fixed annuities. oThe Bureau also alleged that I violated an insurance policy certification by not meeting four clients in person. The certification did not require in person meetings. Instead it related to verifying the identity of my clients which I, and my team, had done, including by in person meetings by other licensed members of my team. I was materially involved with each of these clients. All clients were with the bank already and this was during the initial outbreak and uncertainty of COVID-19 in the summer of 2020. These were also on MYGA fixed annuities. oI objected to the Bureau's allegations and findings but decided that the opportunity to settle would allow me to put this chapter behind me far quicker and in a much less costly way than trying to clear my name in court. I maintain I have done nothing wrong. ?Following the investigation and settlement, I have not been subject to any investigation or regulatory sanction, of which I am aware, for any other potential violations in Virginia or any other state I am licensed. I have been Series 7 NASD licensed since 1994 with no marks upon my U-4 etc.

End of Report

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