



IAPD Report

ERAINE JOHNSON PARKER

CRD# 2337261

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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

ERAINE JOHNSON PARKER (CRD# 2337261)

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 **10/30/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	FIRST CITIZENS INVESTOR SERVICES, INC.	CRD# 44430	08/14/2023
IA	FIRST CITIZENS INVESTOR SERVICES, INC.	CRD# 44430	08/16/2023
IA	FIRST CITIZENS ASSET MANAGEMENT, INC	CRD# 140777	08/07/2025
IA	SVB WEALTH	CRD# 172832	08/07/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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
IA	MSH CAPITAL ADVISORS LLC	157835	SCOTTSDALE, AZ	12/14/2018 - 02/02/2023
B	M. S. HOWELLS & CO.	104100	SCOTTSDALE, AZ	09/18/2018 - 02/02/2023
B	EF LEGACY SECURITIES, LLC	269923	FAIRFAX, VA	04/22/2016 - 01/27/2017

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
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Report Summary

Judgment/Lien

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 2 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 3

Firm Name: **FIRST CITIZENS ASSET MANAGEMENT, INC**
Main Address: 8540 COLONNADE CENTER DRIVE
RALEIGH, NC 27615
Firm ID#: 140777

Regulator	Registration	Status	Date
IA Georgia	Investment Adviser Representative	Approved	08/07/2025

Branch Office Locations

FIRST CITIZENS ASSET MANAGEMENT, INC
8540 Colonnade Center Drive
Raleigh, NC 27615

Employment 2 of 3

Firm Name: **SVB WEALTH**
Main Address: 53 STATE STREET
28TH FLOOR
BOSTON, MA 02109
Firm ID#: 172832

Regulator	Registration	Status	Date
IA Georgia	Investment Adviser Representative	Approved	08/07/2025

Branch Office Locations

SVB WEALTH
53 State Street
28th Floor
Boston, MA 02109

Employment 3 of 3

Firm Name: **FIRST CITIZENS INVESTOR SERVICES, INC.**
Main Address: 8540 COLONNADE CENTER DRIVE
RALEIGH, NC 27615-3052
Firm ID#: 44430



Qualifications

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	08/14/2023
B	FINRA	General Securities Representative	Approved	08/14/2023
B	FINRA	Municipal Securities Principal	Approved	08/14/2023
B	FINRA	Municipal Securities Representative	Approved	08/14/2023
B	Georgia	Agent	Approved	08/16/2023
IA	Georgia	Investment Adviser Representative	Approved	08/16/2023
B	North Carolina	Agent	Approved	08/17/2023

Branch Office Locations

FIRST CITIZENS INVESTOR SERVICES, INC.
Decatur, GA





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
	Municipal Securities Principal Examination (S53)	Series 53	02/22/1994
	General Securities Principal Examination (S24)	Series 24	10/12/1993

General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	06/24/1993

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	05/22/1996
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/03/1994

PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	12/14/2018 - 02/02/2023	MSH CAPITAL ADVISORS LLC	CRD# 157835	SCOTTSDALE, AZ
B	09/18/2018 - 02/02/2023	M. S. HOWELLS & CO.	CRD# 104100	SCOTTSDALE, AZ
B	04/22/2016 - 01/27/2017	EF LEGACY SECURITIES, LLC	CRD# 269923	FAIRFAX, VA
IA	05/30/2007 - 01/27/2017	EDELMAN FINANCIAL SERVICES, LLC	CRD# 113299	FAIRFAX, VA
B	05/25/2007 - 04/22/2016	SANDERS MORRIS HARRIS LLC	CRD# 20580	FAIRFAX, VA
IA	11/13/2007 - 08/25/2009	EDELMAN FINANCIAL ADVISORS LLC	CRD# 144494	FAIRFAX, VA
IA	04/25/1996 - 04/16/2007	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	ATLANTA, GA
B	01/04/1996 - 04/16/2007	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	ATLANTA, GA
B	05/23/2003 - 04/19/2005	SUNTRUST CAPITAL MARKETS, INC.	CRD# 6271	ATLANTA, GA
B	06/25/1993 - 05/01/1995	SUNTRUST SECURITIES, INC.	CRD# 17499	ATLANTA, GA

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
04/2025 - Present	First Citizens Asset Management	Officer/Director	Y	Raleigh, NC, United States
04/2025 - Present	Silicone Valley Bank Wealth LLC	Officer/Director	Y	Boston, MA, United States
04/2024 - Present	First Citizens Bank	Senior Compliance Officer	Y	Raleigh, NC, United States
07/2023 - Present	First Citizens Investor Services	Senior Compliance Officer	Y	Raleigh, NC, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2023 - 07/2023	BYOND COMPLIANCE LLC	OWNER	N	ATLANTA, GA, United States
09/2018 - 01/2023	M. S. HOWELLS & CO.	CHIEF COMPLIANCE OFFICER	Y	SCOTTSDALE, AZ, United States
12/2016 - 09/2018	N/A	SABBATICAL	N	ATLANTA, GA, United States
04/2016 - 12/2016	EF LEGACY SECURITIES, LLC	Mass Transfer	Y	FAIRFAX, VA, United States

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) Sole Proprietor; Non-Investment related; 4268 Sherwood Oaks Drive, Decatur, GA 30034; Real Estate Rentals; Owner; 09/1981; 5 hours monthly/0 during trading hours; Rental Property Maintenance And Leasing.
- 2) Byond Compliance LLC, A Limited Liability Company for Regulatory Compliance Consulting, Not Investment Related, 4268 Sherwood Oaks Drive, Decatur, Ga 30032. President/Owner. January 2023; 15 Hrs/Monthly; 0 During Trading Hours. Writing Training for Supervising Principals and CCOs, Answer Compliance Related Questions, Public Speaking at Compliance Conferences.
- 3) SILICONE VALLEY BANK WEALTH LLC
 POSITION: Officer/Director NATURE: I am the Interim CCO for SVBW. INVESTMENT RELATED: Yes NUMBER OF HOURS: 40
 SECURITIES TRADING HOURS: 40 START DATE: 04/07/2025
 ADDRESS: 53 State Street, 28th Floor, Boston, MA 02109, United States
 DESCRIPTION: Investment Adviser
- 4) FIRST CITIZENS ASSET MANAGEMENT
 POSITION: Officer/Director NATURE: Interim CCO of FCAM INVESTMENT RELATED: Yes NUMBER OF HOURS: 15
 SECURITIES TRADING HOURS: 15 START DATE: 04/07/2025
 ADDRESS: 8540 Colonnade Center Drive, Raleigh, NC 27615, United States
 DESCRIPTION: Investment Adviser



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
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Judgment/Lien	1
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Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	City of Atlanta, Acting Through, Director of the Atlanta Police Department, Code Enforcement Section
Judgment/Lien Amount:	\$625.00
Judgment/Lien Type:	Civil
Date Filed with Court:	05/23/2023
Date Individual Learned:	08/04/2023
Type of Court:	City of Atlanta
Name of Court:	Clerk of Superior Court
Location of Court:	Fulton County Georgia
Docket/Case #:	2023-0149967
Judgment/Lien Outstanding?	Yes
Broker Statement	I was in the process of selling my property and the closing attorney found a Lis Pendens Notice on the property which was never sent to me. The notifications were sent to the property address instead of my address. The Lis Pendens will be cured with the sale of the property.



End of Report

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