

BrokerCheck Report

CARY STREET PARTNERS

CRD# 128089

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Firm Profile	2 - 14
Firm History	15
Firm Operations	16 - 24



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.

**CARY STREET PARTNERS**

CRD# 128089

SEC# 8-66085

Main Office Location

901 EAST BYRD STREET
SUITE 1001
RICHMOND, VA 23219
Regulated by FINRA Philadelphia Office

Mailing Address

901 EAST BYRD STREET
SUITE 1001
RICHMOND, VA 23219

Business Telephone Number

8043408100

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 Virginia on 03/26/2002.

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 9 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has 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**



Firm Profile

This firm is classified as a limited liability company.
This firm was formed in Virginia on 03/26/2002.
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.

CARY STREET PARTNERS LLC

Doing business as CARY STREET PARTNERS

CRD# 128089
SEC# 8-66085

Main Office Location

901 EAST BYRD STREET
SUITE 1001
RICHMOND, VA 23219

Regulated by FINRA Philadelphia Office

Mailing Address

901 EAST BYRD STREET
SUITE 1001
RICHMOND, VA 23219

Business Telephone Number

8043408100

Other Names of this Firm

Name	Where is it used
RIVERSTONE WEALTH MANAGEMENT	AK, AL, AR, AZ, CA, CO, CT, DC, DE, FL, GA, HI, IA, ID, IL, IN, KS, KY, LA, MA, MD, ME, MI, MN, MO, MS, MT, NC, NH, NJ, NM, NV, NY, OH, OK, OR, PA, RI, SC, SD, TN, TX, UT, VA, VI,

VT, WA, WI, WV, WY



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):	CARY STREET PARTNERS FINANCIAL LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SOLE MEMBER OF BROKER-DEALER
Position Start Date	01/2004
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	BAYNE, WALTER DONALD 4427332
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT OF BROKER-DEALER AND MANAGING DIRECTOR OF CSPF
Position Start Date	01/2015
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	GALLUP, WESLEY HAMILTON 5037007
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF OPERATING OFFICER OF CSPF
Position Start Date	10/2024

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? No

Legal Name & CRD# (if any): HAYES, JAIMAL CHARAN
4259937

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

Position CHIEF COMPLIANCE OFFICER OF BROKER-DEALER

Position Start Date 09/2024

Percentage of Ownership Less than 5%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): MITCHELL, KEVIN LEE
3085157

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

Position HEAD OF ACCOUNTING - CONTROLLER AND FINANCIAL OPERATIONS
PRINCIPAL OF BROKER-DEALER

Position Start Date 02/2017

Percentage of Ownership Less than 5%

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

Is this a public reporting company? No

Firm Profile



Direct Owners and Executive Officers (continued)

Legal Name & CRD# (if any): RUBIN, MATTHEW LAWRENCE
3057508

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

Position CHIEF INVESTMENT OFFICER OF CSPF

Position Start Date 01/2024

Percentage of Ownership Less than 5%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): SCHMUCKLER, JOSEPH REDMOND
1156472

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

Position CHIEF EXECUTIVE OFFICER OF CSPF

Position Start Date 09/2017

Percentage of Ownership Less than 5%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): TULLIDGE, THOMAS HOGSHEAD JR
2858022

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

Position SECRETARY/TREASURER OF BROKER-DEALER AND CHIEF STRATEGY OFFICER, LEGAL AND FINANCE OF CSPF

Position Start Date 10/2010

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? No



Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any): CIVC CSP AGGREGATOR L.P.

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

Company through which indirect ownership is established CSP BUYER LLC

Relationship to Direct Owner SOLE MEMBER

Relationship Established 02/2025

Percentage of Ownership 75% or more

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

Is this a public reporting company? No

Legal Name & CRD# (if any): CIVC PARTNERS FUND VII-A, L.P.

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

Company through which indirect ownership is established CSP BLOCKER LLC

Relationship to Direct Owner SOLE MEMBER

Relationship Established 02/2025

Percentage of Ownership 75% or more

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

Is this a public reporting company? No

Legal Name & CRD# (if any): CSP INTERMEDIATE I LLC

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



Firm Profile

Indirect Owners (continued)

Company through which indirect ownership is established CSP INTERMEDIATE II LLC

Relationship to Direct Owner SOLE MEMBER

Relationship Established 04/2025

Percentage of Ownership 75% or more

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

Is this a public reporting company? No

Legal Name & CRD# (if any): CSP INTERMEDIATE II LLC

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

Company through which indirect ownership is established CARY STREET PARTNERS FINANCIAL LLC

Relationship to Direct Owner SOLE MEMBER

Relationship Established 04/2025

Percentage of Ownership 75% or more

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

Is this a public reporting company? No

Legal Name & CRD# (if any): CSP PARENT LLC

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

Company through which indirect ownership is established CSP INTERMEDIATE I LLC

Relationship to Direct Owner SOLE MEMBER

Relationship Established 04/2025

Firm Profile



Indirect Owners (continued)

Percentage of Ownership 75% or more

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

Is this a public reporting company? No

Legal Name & CRD# (if any): CIVC PARTNERS FUND VII, L.P.

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

Company through which indirect ownership is established CIVC CSP AGGREGATOR, L.P.

Relationship to Direct Owner LIMITED PARTNER

Relationship Established 02/2025

Percentage of Ownership 50% but less than 75%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): CSP BUYER LLC

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

Company through which indirect ownership is established CSP PARENT LLC

Relationship to Direct Owner MEMBER

Relationship Established 05/2025

Percentage of Ownership 50% but less than 75%

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

Is this a public reporting company? No

Firm Profile



Indirect Owners (continued) company?

Legal Name & CRD# (if any):	CSP BLOCKER LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	CIVC CSP AGGREGATOR, L.P.
Relationship to Direct Owner	LIMITED PARTNER
Relationship Established	02/2025
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
Legal Name & CRD# (if any):	CIVC GP VII, L.P.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	CIVC PARTNERS FUND VII-A, L.P.
Relationship to Direct Owner	GP OF CIVC PARTNERS FUND VII-A, L.P.
Relationship Established	06/2023
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
Legal Name & CRD# (if any):	CIVC GP VII, L.P.
Is this a domestic or foreign entity or an individual?	Domestic Entity

Firm Profile



Indirect Owners (continued)

Company through which indirect ownership is established CIVC CSP AGGREGATOR, L.P.

Relationship to Direct Owner GP OF CIVC CSP AGGREGATOR, L.P.

Relationship Established 02/2025

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

Legal Name & CRD# (if any): CIVC GP VII, L.P.

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

Company through which indirect ownership is established CIVC PARTNERS FUND VII, L.P.

Relationship to Direct Owner GP OF CIVC PARTNERS FUND VII, L.P.

Relationship Established 06/2023

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

Legal Name & CRD# (if any): JAMES, BRIAN DANIEL
8123950

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

Company through which indirect ownership is established CSP PARENT LLC

Relationship to Direct Owner BOARD MANAGER OF CSP PARENT LLC

Firm Profile



Indirect Owners (continued)

Relationship Established	05/2025
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

Legal Name & CRD# (if any):	MCMANUS, MARC MATTHEW 4706001
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	CSP PARENT LLC
Relationship to Direct Owner	BOARD MANAGER OF CSP PARENT LLC
Relationship Established	05/2025
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

Legal Name & CRD# (if any):	SCHMUCKLER, JOSEPH REDMOND 1156472
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	CSP PARENT LLC
Relationship to Direct Owner	BOARD MANAGER OF CSP PARENT LLC
Relationship Established	05/2025
Percentage of Ownership	Other General Partners

Firm Profile



Indirect Owners (continued)

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

Is this a public reporting company? No

Legal Name & CRD# (if any): STEWART, DOUGLAS GUY
1478381

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

Company through which indirect ownership is established CSP PARENT LLC

Relationship to Direct Owner BOARD MANAGER OF CSP PARENT LLC

Relationship Established 05/2025

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 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	12/15/2003

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

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	12/15/2003



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	02/13/2007
Alaska	Approved	01/17/2011
Arizona	Approved	02/12/2007
Arkansas	Approved	09/11/2013
California	Approved	01/04/2007
Colorado	Approved	01/08/2007
Connecticut	Approved	02/11/2010
Delaware	Approved	06/15/2007
District of Columbia	Approved	01/09/2007
Florida	Approved	02/07/2007
Georgia	Approved	01/24/2005
Hawaii	Approved	01/02/2014
Idaho	Approved	04/12/2012
Illinois	Approved	01/11/2007
Indiana	Approved	11/04/2010
Iowa	Approved	01/06/2011
Kansas	Approved	09/12/2013
Kentucky	Approved	06/18/2007
Louisiana	Approved	09/09/2013
Maine	Approved	02/22/2012
Maryland	Approved	01/11/2007
Massachusetts	Approved	01/04/2007
Michigan	Approved	01/04/2007
Minnesota	Approved	01/23/2012
Mississippi	Approved	03/22/2011
Missouri	Approved	01/03/2007
Montana	Approved	01/22/2007
Nebraska	Approved	07/01/2014
Nevada	Approved	03/04/2013
New Hampshire	Approved	01/21/2007
New Jersey	Approved	02/02/2007
New Mexico	Approved	01/04/2007
New York	Approved	01/08/2007

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	11/15/2005
North Dakota	Approved	09/16/2014
Ohio	Approved	01/04/2007
Oklahoma	Approved	02/29/2012
Oregon	Approved	06/15/2009
Pennsylvania	Approved	02/07/2007
Puerto Rico	Approved	07/16/2014
Rhode Island	Approved	01/12/2007
South Carolina	Approved	01/03/2007
South Dakota	Approved	05/05/2008
Tennessee	Approved	02/12/2008
Texas	Approved	03/12/2007
Utah	Approved	08/08/2012
Vermont	Approved	03/20/2012
Virgin Islands	Approved	10/09/2007
Virginia	Approved	12/15/2003
Washington	Approved	01/03/2007
West Virginia	Approved	06/19/2007
Wisconsin	Approved	06/16/2009
Wyoming	Approved	07/20/2009



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 9 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Mutual fund retailer
U S. government securities broker
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Put and call broker or dealer or option writer
Private placements of securities
Other - CARY STREET PARTNERS LLC WILL ALSO BE ENGAGED IN MERGERS AND ACQUISITIONS (INVESTMENT BANKING) ACTIVITIES AS AN ADVISOR TO PUBLIC AND PRIVATE COMPANIES. IN ADDITION, CARY STREET PARTNERS LLC WILL OFFER AND SELL BROKERED BANK CERTIFICATE OF DEPOSITS AND OTHER INSTRUMENTS OF UNAFFILIATED FINANCIAL INSTITUTIONS.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does engage in other non-securities business.

Non-Securities Business Description: THE COMPANY ENGAGES IN GENERAL CONSULTING SERVICES REGARDING STRATEGIC AND FINANCIAL ISSUES.

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 refer or introduce customers to other brokers and dealers.

Name:	WELLS FARGO CLEARING SERVICES, LLC
CRD #:	19616
Business Address:	100 NORTH JEFFERSON AVE MO 1950 ST. LOUIS, MO 63103
Effective Date:	11/11/2016
Description:	ACCOUNTS OF CARY STREET PARTNERS LLC ARE INTRODUCED TO WELLS FARGO CLEARING SERVICES LLC AND ARE CLEARED AND SETTLED ON A FULLY DISCLOSED BASIS.

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name:	MYCOMPLIANCEOFFICE LTD
Business Address:	535 5TH AVENUE 4TH FLOOR NEW YORK, NY 10017
Effective Date:	06/27/2022
Description:	EMPLOYEE DISCLOSURES AND RELATED RECORDS.
Name:	AMAZON WEB SERVICES, INC.
Business Address:	410 TERRY AVENUE NORTH SEATTLE, WA 98109-5210
Effective Date:	09/01/2021
Description:	AMAZON SIMPLE STORAGE SERVICE ("AMAZON S3") MAINTAINS CLIENT FILES FROM SS&C TECHNOLOGIES, SALENTICA AND OWNBACKUP.
Name:	OWNBACKUP INC.
Business Address:	940 SYLVAN AVE ENGLEWOOD CLIFFS, NJ 07632
Effective Date:	08/24/2021
Description:	REVIEWS CLIENT FILES PREPARED IN SS&C TECHNOLOGIES, SALENTICA FOR CHANGES, ADDITIONS, AND CORRUPTED FILES.
Name:	SS&C TECHNOLOGIES, SALENTICA
Business Address:	9000 SOUTHSIDE BLVD #7500 BUILDING 700 JACKSONSVILLE, FL 32256
Effective Date:	11/12/2020
Description:	CLIENT FILES
Name:	EMONEY ADVISOR LLC
Business Address:	4 RADNOR CORPORATE CENTER 100 MATSONFORD ROAD SUITE 300 RADNOR, PA 19087
Effective Date:	05/29/2020
Description:	CLIENT INFORMATION IS HELD AT EMONEY ADVISOR, A CLOUD BASED

Firm Operations



Industry Arrangements (continued)

INTERNET SERVICE PROVIDER OF FINANCIAL PLANNING AND ACCOUNT AGGREGATION TOOLS.

Name: GLOBAL RELAY

Business Address: 220 CAMBIE STREET
2ND FLOOR
VANCOUVER, CANADA V6B2M9

Effective Date: 04/06/2016

Description: GLOBAL RELAY MAINTAINS ELECTRONIC COMMUNICATIONS.

Name: QUEST CONTINUING EDUCATION SOLUTIONS LLC

Business Address: 101100 W INNOVATION DRIVE
SUITE 200
MILWAUKEE, WI 53226

Effective Date: 01/29/2020

Description: QUEST MAINTAINS INDIVIDUAL AND FIRM DISCLOSURES AND CONTINUING EDUCATION DOCUMENTATION.

Name: NETAPP SNAPLOCK

Business Address: 1395 CROSSMAN AVENUE
SUNNYVALE, CA 94089

Effective Date: 10/10/2016

Description: SNAPLOCK IS A LICENSE-BASED, DISK-BASED, OPEN-PROTOCOL FEATURE THAT WORKS WITH APPLICATION SOFTWARE TO ADMINISTER NON-REWRITEABLE STORAGE OF DATA.

Name: WELLS FARGO CLEARING SERVICES, LLC

CRD #: 19616

Business Address: 100 NORTH JEFFERSON AVE
MO 1950
ST. LOUIS, MO 63103

Effective Date: 11/11/2016

Description: CARY STREET PARTNERS LLC UTILIZES ELECTRONIC ORDER ENTRY, ACCOUNT MAINTENANCE AND RELATED RECORD KEEPING SYSTEMS PROVIDED BY WELLS FARGO CLEARING SERVICES LLC UNDER THE TERMS OF THE FULLY DISCLOSED CLEARING AGREEMENT.

Name: CARY STREET PARTNERS FINANCIAL LLC

Business Address: 901 EAST BYRD STREET

Firm Operations



Industry Arrangements (continued)

SUITE 1001
RICHMOND, VA 23219

Effective Date: 06/25/2007

Description: CARY STREET FINANCIAL LLC PROVIDES OPERATIONAL FACILITIES AND SUPPORT, DATA PROCESSING, ACCOUNTING AND RECORDKEEPING FUNCTIONS FOR CARY STREET PARTNERS LLC.

This firm does have accounts, funds, or securities maintained by a third party.

Name: WELLS FARGO CLEARING SERVICES, LLC

CRD #: 19616

Business Address: 100 NORTH JEFFERSON AVE
MO 1950
ST. LOUIS, MO 63103

Effective Date: 11/11/2016

Description: CARY STREET PARTNERS LLC MAINTAINS PROPRIETARY ACCOUNTS, FUNDS AND SECURITIES WITH WELLS FARGO CLEARING SERVICES LLC UNDER THE TERMS OF THEIR FULLY DISCLOSED CLEARING AGREEMENT.

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: WELLS FARGO CLEARING SERVICES, LLC

CRD #: 19616

Business Address: 100 NORTH JEFFERSON AVE
MO 1950
ST. LOUIS, MO 63103

Effective Date: 11/11/2016

Description: CARY STREET PARTNERS LLC'S INTRODUCED CLIENT ACCOUNTS ARE HELD AND MAINTAINED BY WELLS FARGO CLEARING SERVICES LLC OPERATING PURSUANT TO THE EXEMPTIVE PROVISIONS OF SEC RULE 15C3-3(K)(2)(II) AND CLEARING ALL TRANSACTIONS ON A FULLY-DISCLOSED BASIS. CARY STREET PARTNERS LLC WILL NOT HOLD CUSTOMER FUNDS OR SECURITIES.

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.**

CARY STREET PARTNERS ASSET MANAGEMENT is under common control with the firm.

CRD #:	289178
Business Address:	901 EAST BYRD STREET SUITE 1001 RICHMOND, VA 23219
Effective Date:	09/10/2015
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	BOTH CARY STREET PARTNERS ASSET MANAGEMENT LLC AND CARY STREET PARTNERS LLC ARE WHOLLY OWNED SUBSIDIARIES OF CARY STREET PARTNERS FINANCIAL LLC.

CARY STREET PARTNERS is under common control with the firm.

CRD #:	128545
Business Address:	901 EAST BYRD STREET SUITE 1001 RICHMOND, VA 23219
Effective Date:	01/01/2004
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes

Firm Operations



Organization Affiliates (continued)

Description: CARY STREET PARTNERS LLC AND CARY STREET PARTNERS INVESTMENT ADVISORY LLC ARE WHOLLY-OWNED SUBSIDIARIES OF CARY STREET PARTNERS FINANCIAL LLC.

This firm is not 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

End of Report



This page is intentionally left blank.