BrokerCheck Report

SUMRIDGE PARTNERS, LLC

CRD# 152437

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.
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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.

SUMRIDGE PARTNERS, LLC

CRD# 152437

SEC# 8-68454

Main Office Location

111 TOWN SQUARE PLACE
JERSEY CITY, NJ 07310
Regulated by FINRA Woodbridge Office

Mailing Address

111 TOWN SQUARE
JERSEY CITY, NJ 07310

Business Telephone Number

201-898-2525

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 Delaware on 09/29/2009.

Its fiscal year ends in September.

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 6 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 Delaware on 09/29/2009.

Its fiscal year ends in September.

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.

SUMRIDGE PARTNERS, LLC

Doing business as SUMRIDGE PARTNERS, LLC

CRD# 152437

SEC# 8-68454

Main Office Location

111 TOWN SQUARE PLACE
JERSEY CITY, NJ 07310

Regulated by FINRA Woodbridge Office

Mailing Address

111 TOWN SQUARE
JERSEY CITY, NJ 07310

Business Telephone Number

201-898-2525

Other Names of this Firm

Name	Where is it used
SUMRIDGE PARTNERS, A COMPANY OF RAYMOND JAMES	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, ND, NE, NH, NJ, NM, NV, NY, OH, OK, OR, PA, PR, 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):	EVEREST ACQUISITION CO.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	OWNER
Position Start Date	07/2022
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):	CARTER, HORACE LEROY 2157720
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT
Position Start Date	07/2022
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):	CATLIN, CHRISTOPHER EDWIN 1759063
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR OF OPERATIONS/ COO (2/2015)
Position Start Date	08/2010

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):	CHAMPAGNE, JUSTIN TYLER 5822474
Is this a domestic or foreign entity or an individual?	Individual
Position	MUNICIPAL PRINCIPAL/ MANAGING DIRECTOR (7/2022)
Position Start Date	05/2021
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):	CHAMPAGNE, RYAN 4774950
Is this a domestic or foreign entity or an individual?	Individual
Position	HEAD OF TRADING/ SENIOR MANAGING DIRECTOR (7/2022)
Position Start Date	03/2011
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):	DELEON, ALLYSSA NICOLE

User Guidance

Direct Owners and Executive Officers (continued)

	6902665
Is this a domestic or foreign entity or an individual?	Individual
Position	CFO/ FINOP
Position Start Date	02/2025
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):	JIANG, JIANZHONG
	4779195
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF TECHNOLOGY OFFICER/ SENIOR MANAGING DIRECTOR (7/2022)
Position Start Date	04/2021
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):	MORANO, KEVIN ROBERT
	1928935
Is this a domestic or foreign entity or an individual?	Individual
Position	SENIOR MANAGING DIRECTOR
Position Start Date	07/2022
Percentage of Ownership	Less than 5%

Firm Profile

Direct Owners and Executive Officers (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):	SHIM, KATHERINE 4204142
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	06/2014
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):	RAYMOND JAMES FINANCIAL, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	EVEREST ACQUISITION CO.
Relationship to Direct Owner	OWNER
Relationship Established	07/2022
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

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	08/20/2010

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	08/20/2010

Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	10/29/2010
Alaska	Approved	09/13/2010
Arizona	Approved	09/27/2010
Arkansas	Approved	09/15/2010
California	Approved	09/14/2010
Colorado	Approved	09/27/2010
Connecticut	Approved	09/08/2010
Delaware	Approved	10/01/2010
District of Columbia	Approved	09/29/2010
Florida	Approved	09/15/2010
Georgia	Approved	09/14/2010
Hawaii	Approved	10/01/2010
Idaho	Approved	09/10/2010
Illinois	Approved	09/02/2010
Indiana	Approved	10/06/2010
Iowa	Approved	09/21/2010
Kansas	Approved	10/11/2010
Kentucky	Approved	09/16/2010
Louisiana	Approved	09/13/2010
Maine	Approved	10/20/2010
Maryland	Approved	09/21/2010
Massachusetts	Approved	09/01/2010
Michigan	Approved	10/25/2010
Minnesota	Approved	09/14/2010
Mississippi	Approved	09/21/2010
Missouri	Approved	09/28/2010
Montana	Approved	09/13/2010
Nebraska	Approved	10/19/2010
Nevada	Approved	09/15/2010
New Hampshire	Approved	11/08/2010
New Jersey	Approved	09/02/2010
New Mexico	Approved	10/07/2010
New York	Approved	09/14/2010

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	09/30/2010
North Dakota	Approved	10/05/2010
Ohio	Approved	10/07/2010
Oklahoma	Approved	09/15/2010
Oregon	Approved	10/01/2010
Pennsylvania	Approved	09/09/2010
Puerto Rico	Approved	09/28/2010
Rhode Island	Approved	09/21/2010
South Carolina	Approved	10/07/2010
South Dakota	Approved	09/10/2010
Tennessee	Approved	12/10/2010
Texas	Approved	09/20/2010
Utah	Approved	09/15/2010
Vermont	Approved	09/17/2010
Virgin Islands	Approved	09/23/2010
Virginia	Approved	09/17/2010
Washington	Approved	09/09/2010
West Virginia	Approved	10/04/2010
Wisconsin	Approved	09/20/2010
Wyoming	Approved	09/20/2010

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 6 types of businesses.

Types of Business
Broker or dealer selling corporate debt securities
U S. government securities dealer
U S. government securities broker
Municipal securities dealer
Municipal securities broker
Trading securities for own account

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:	PERSHING LLC
CRD #:	7560
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	08/21/2015
Description:	SUMRIDGE PARTNERS, LLC WILL BE AN INTRODUCING BROKER/DEALER IN FULLY DISCLOSED CLEARING RELATIONSHIP WITH PERSHING LLC.

Firm Operations

Industry Arrangements

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

Name:	RAYMOND JAMES & ASSOCIATES, INC.
CRD #:	705
Business Address:	880 CARILLON PARKWAY ST. PETERSBURG, FL 33716
Effective Date:	07/01/2022
Description:	SUMRIDGE PARTNERS, LLC RELIES ON ITS AFFILIATE, RAYMOND JAMES & ASSOCIATES, INC., FOR MAINTENANCE OF SUMRIDGE'S BOOKS AND RECORDS CREATED AND STORED ON RAYMOND JAMES SYSTEMS.

Name:	PERSHING LLC
CRD #:	7560
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	08/21/2015
Description:	PERSHING WILL CLEAR FOR SUMRIDGE AND MAINTAIN CLIENT ACCOUNTS. AS SUCH, PERSHING MAINTAINS CERTAIN CLIENT BOOKS AND RECORDS ON ITS BEHALF.

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

Name:	PERSHING LLC
CRD #:	7560
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	08/21/2015
Description:	PERSHING WILL CLEAR FOR SUMRIDGE ON FULLY DISCLOSED BASIS AND THEREFORE HOLD BOTH SECURITIES AND FUNDS.

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

Name:	PERSHING LLC
CRD #:	7560
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399

Firm Operations

Industry Arrangements (continued)

Effective Date: 08/21/2015

Description: PERSHING WILL CLEAR TRADES FOR SUMRIDGE ON A DELIVER/RECEIPT VERSUS PAYMENT BASIS.THERE WILL BE NO OVERNIGHT CUSTODY OF CUSTOMER SECURITIES OR ASSETS ALL ACCOUNTS WILL HAVE A ZERO BALANCE BY END OF DAY.

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.

RAYMOND JAMES & ASSOCIATES, INC. is under common control with the firm.

CRD #:	705
Business Address:	880 CARILLON PKWY ST. PETERSBURG, FL 33777
Effective Date:	07/01/2022
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

SCOUT INVESTMENTS, INC. is under common control with the firm.

CRD #:	111787
Business Address:	1201 WALNUT ST 21ST FLOOR KANSAS CITY, MO 64106
Effective Date:	07/01/2022
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	INDIRECT WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

EB MANAGEMENT I LLC is under common control with the firm.

Firm Operations

Organization Affiliates (continued)

Business Address:	880 CARILLON PKWY ST. PETERSBURG, FL 33777
Effective Date:	07/01/2022
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	MAJORITY-OWNED SUBSIDIARY OF EAGLE ASSET MANAGEMENT, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF CARILLON TOWER ADVISERS, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

RAYMOND JAMES ASSET MANAGEMENT INTERNATIONAL, S.A. is under common control with the firm.

Business Address:	40, RUE LA BOETIE PARIS, FRANCE 75008
Effective Date:	07/01/2022
Foreign Entity:	Yes
Country:	FRANCE
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	MAJORITY-OWNED SUBSIDIARY OF RAYMOND JAMES INTERNATIONAL HOLDINGS, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

RAYMOND JAMES CORPORATE FINANCE GMBH is under common control with the firm.

Business Address:	THERESIENSTRASSE 1 MUNICH, GERMANY 80333
Effective Date:	07/01/2022
Foreign Entity:	Yes
Country:	GERMANY
Securities Activities:	Yes
Investment Advisory	Yes

Firm Operations

Organization Affiliates (continued)

Activities:

Description: WHOLLY-OWNED SUBSIDIARY OF RAYMOND JAMES GLOBAL HOLDINGS LIMITED, WHICH IS A WHOLLY-OWNED SUBSIDIARY OF RAYMOND JAMES INTERNATIONAL HOLDINGS, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

CARILLON TOWER ADVISERS, INC. is under common control with the firm.

CRD #:	174904
Business Address:	880 CARILLON PKWY ST. PETERSBURG, FL 33777
Effective Date:	07/01/2022
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

CLARIVEST ASSET MANAGEMENT LLC is under common control with the firm.

CRD #:	139785
Business Address:	3611 VALLEY CENTRE DRIVE SUITE 100 SAN DIEGO, CA 92130
Effective Date:	07/01/2022
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	AFFILIATE OF EAGLE ASSET MANAGEMENT, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF CARILLON TOWER ADVISORS, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

COUGAR GLOBAL INVESTMENTS is under common control with the firm.

Firm Operations

Organization Affiliates (continued)

CRD #:	109439
Business Address:	357 BAY STREET SUITE #1001 TORONTO, CANADA M5H 2T7
Effective Date:	07/01/2022
Foreign Entity:	Yes
Country:	CANADA
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	WHOLLY-OWNED SUBSIDIARY OF RAYMOND JAMES INTERNATIONAL CANADA, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF RAYMOND JAMES INTERNATIONAL HOLDINGS, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC is under common control with the firm.

CRD #:	149018
Business Address:	880 CARILLON PKWY ST. PETERSBURG, FL 33777
Effective Date:	07/01/2022
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

CARILLON FUND DISTRIBUTORS, INC. is under common control with the firm.

CRD #:	139749
Business Address:	880 CARILLON PKWY ST. PETERSBURG, FL 33777
Effective Date:	07/01/2022
Foreign Entity:	No

Firm Operations

Organization Affiliates (continued)

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: WHOLLY-OWNED SUBSIDIARY OF EAGLE ASSET MANAGEMENT, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF CARILLON TOWER ADVISORS, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

RAYMOND JAMES TRUST, NATIONAL ASSOCIATION is under common control with the firm.

Business Address: 880 CARILLON PKWY
ST. PETERSBURG, FL 33777

Effective Date: 07/01/2022

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: RAYMOND JAMES TRUST, NATIONAL ASSOCIATION FORMERLY KNOWN AS RAYMOND JAMES TRUST COMPANY IS A WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

RAYMOND JAMES LTD. (CANADA) is under common control with the firm.

Business Address: 601 WEST HASTINGS ST., SUITE 800
VANCOUVER, B.C., CANADA V6B 5E2

Effective Date: 07/01/2022

Foreign Entity: Yes

Country: CANADA

Securities Activities: Yes

Investment Advisory Activities: No

Description: WHOLLY-OWNED SUBSIDIARY OF RAYMOND JAMES CANADA, LLC, WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

RAYMOND JAMES INVESTMENT SERVICES LTD. is under common control with the firm.

Firm Operations

Organization Affiliates (continued)

Business Address:	77 CORNHILL LONDON, ENGLAND EC3V 3QQ
Effective Date:	07/01/2022
Foreign Entity:	Yes
Country:	ENGLAND
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

RAYMOND JAMES (USA) LTD. is under common control with the firm.

CRD #:	25853
Business Address:	40 KING STREET WEST, SUITE 5300 P.O. BOX 415 SCOTIA PLAZA TORONTO ONTARIO, CANADA M5H 3Y2
Effective Date:	07/01/2022
Foreign Entity:	Yes
Country:	CANADA
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	WHOLLY-OWNED SUBSIDIARY OF RAYMOND JAMES LTD., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF RAYMOND JAMES CANADA, LLC, WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

RAYMOND JAMES FINANCIAL INTERNATIONAL, LTD. (UK) is under common control with the firm.

Business Address:	BISHOPSGATE COURT 4-12 NORTON FOLGATE LONDON, ENGLAND E16DB
Effective Date:	07/01/2022
Foreign Entity:	Yes
Country:	ENGLAND
Securities Activities:	Yes

Firm Operations

Organization Affiliates (continued)

Investment Advisory Activities:	No
Description:	WHOLLY-OWNED SUBSIDIARY OF RAYMOND JAMES INTERNATIONAL HOLDINGS, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

CHARTWELL INVESTMENT PARTNERS, LLC is under common control with the firm.

CRD #:	170335
Business Address:	1205 WESTLAKES DRIVE SUITE 100 BERWYN, PA 19312
Effective Date:	07/01/2022
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

EAGLE ASSET MANAGEMENT INC is under common control with the firm.

CRD #:	110653
Business Address:	880 CARILLON PKWY ST. PETERSBURG, FL 33777
Effective Date:	07/01/2022
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	WHOLLY-OWNED SUBSIDIARY OF CARILLON TOWER ADVISORS, INC., WHICH IS A WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

RAYMOND JAMES FINANCIAL SERVICES, INC. is under common control with the firm.

CRD #:	6694

Firm Operations

Organization Affiliates (continued)

Business Address: 880 CARILLON PKWY
ST. PETERSBURG, FL 33777

Effective Date: 07/01/2022

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

This firm is 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**

TRISTATE CAPITAL BANK is a Bank Holding Company and controls the firm.

Business Address: 301 GRANT ST
SUITE 2700
PITTSBURGH, PA 15219

Effective Date: 07/01/2022

Description: WHOLLY-OWNED SUBSIDIARY OF THE PARENT OF APPLICANT.

RAYMOND JAMES FINANCIAL, INC. is a Bank Holding Company and controls the firm.

Business Address: 880 CARILLON PKWY
ST. PETERSBURG, FL 33716

Effective Date: 07/01/2022

Description: PARENT OF APPLICANT.

End of Report

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