

BrokerCheck Report

SVB INVESTMENT SERVICES INC.

CRD# 168116

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Registration and Withdrawal	2
Firm Profile	3 - 5
Firm History	6
Firm Operations	7 - 15



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

**SVB INVESTMENT SERVICES INC.**

CRD# 168116

SEC# 8-70327

Main Office Location

505 HOWARD STREET
3RD FLOOR
SAN FRANCISCO, CA 94105

Mailing Address

505 HOWARD STREET
3RD FLOOR
SAN FRANCISCO, CA 94105

Business Telephone Number

800-774-7390

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:

<https://www.adviserinfo.sec.gov>

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 corporation.

This firm was formed in Delaware on 05/29/2013.

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 brokerage firm is no longer registered with FINRA or a national securities exchange.

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**

Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.



Date firm ceased business: 12/31/2023

Does this brokerage firm owe any money or securities to any customer or brokerage firm? No



Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 05/29/2013.

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.

SVB INVESTMENT SERVICES INC.

Doing business as SVB INVESTMENT SERVICES INC.

CRD# 168116

SEC# 8-70327

Main Office Location

505 HOWARD STREET
3RD FLOOR
SAN FRANCISCO, CA 94105

Mailing Address

505 HOWARD STREET
3RD FLOOR
SAN FRANCISCO, CA 94105

Business Telephone Number

800-774-7390

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):	FIRST-CITIZENS BANK & TRUST COMPANY
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	PARENT COMPANY - OWNER
Position Start Date	03/2023
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

Firm Profile

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



Indirect Owners

Legal Name & CRD# (if any):	FIRST CITIZENS BANCSHARES
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	FIRST-CITIZENS BANK & TRUST
Relationship to Direct Owner	OWNER
Relationship Established	01/1994
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 no longer registered.

The firm's registration was from 07/02/2020 to 02/20/2024.



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 10 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Underwriter or selling group participant (corporate securities other than mutual funds)
Mutual fund retailer
U S. government securities broker
Municipal securities broker
Put and call broker or dealer or option writer
Non-exchange member arranging for transactions in listed securities by exchange member
Private placements of securities
Other - SVB INVESTMENT SERVICES INC. WILL PROVIDE ACCESS TO SECURITIES OFFERED AS PART OF AN INITIAL PUBLIC OFFERING (IPO).

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.
This firm does not engage in other non-securities business.

Non-Securities Business Description:

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:	NATIONAL FINANCIAL SERVICES LLC
CRD #:	13041
Business Address:	200 SEAPORT BLVD. BOSTON, MA 02210
Effective Date:	05/22/2019
Description:	NATIONAL FINANCIAL SERVICES PROVIDES THE FIRM WITH CLEARING AND SETTLEMENT SERVICES.

Firm Operations

Industry Arrangements



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

Name: SILICON VALLEY BANK, A DIVISION OF FIRST CITIZENS BANK

Business Address: 3003 TASMAN DRIVE
SANTA CLARA, CA 95054

Effective Date: 05/29/2013

Description: SILICON VALLEY BANK PROVIDES DOCUMENT STORAGE AND RETRIEVAL

Name: SMARSH

Business Address: 851 SW 6TH AVE.
SUITE 800
PORTLAND, OR 97204

Effective Date: 03/20/2018

Description: SMARSH PROVIDES ELECTRONIC COMMUNICATION CAPTURE AND ARCHIVING

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

Name: SILICON VALLEY BANK, A DIVISION OF FIRST CITIZENS BANK

Business Address: 3003 TASMAN DR
SAN FRANCISCO, CA 95054

Effective Date: 05/29/2013

Description: ACCOUNTS OF THE FIRM ARE HELD AT THIS ORGANIZATION.

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

Name: NATIONAL FINANCIAL SERVICES LLC

CRD #: 13041

Business Address: 200 SEAPORT BLVD
BOSTON, MA 02110

Effective Date: 07/31/2019

Description: NATIONAL FINANCIAL SERVICES IS THE COMPANY'S CLEARING FIRM.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

Firm Operations

Industry Arrangements (continued)

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.

FIRST CITIZENS ASSET MANAGEMENT, INC is under common control with the firm.

CRD #:	140777
Business Address:	4300 SIX FORKS RD RALEIGH, NC 27609
Effective Date:	03/27/2023
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	SVB INVESTMENT SERVICES INC, SHARES A PARENT COMPANY WITH FIRST-CITIZENS ASSET MANAGEMENT, INC.; FIRST-CITIZENS BANK & TRUST.

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

CRD #:	285836
Business Address:	11 WEST 42ND STREET NEW YORK, NY 10036
Effective Date:	03/27/2023
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	SVB INVESTMENT SERVICES INC, SHARES A PARENT COMPANY WITH CIT

Firm Operations**Organization Affiliates (continued)**

ASSET MANAGEMENT LLC; FIRST-CITIZENS BANK & TRUST.

CIT CAPITAL SECURITIES LLC is under common control with the firm.

CRD #: 41504

Business Address: 11 WEST 42ND STREET
NEW YORK, NY 10036

Effective Date: 03/27/2023

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: SVB INVESTMENT SERVICES INC, SHARES A PARENT COMPANY WITH CIT CAPITAL SECURITIES LLC; FIRST-CITIZENS BANK & TRUST.

FIRST CITIZENS INVESTOR SERVICES, INC. is under common control with the firm.

CRD #: 44430

Business Address: 4300 SIX FORKS RD
RALEIGH, NC 27609

Effective Date: 03/27/2023

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: SVB INVESTMENT SERVICES INC, SHARES A PARENT COMPANY WITH FIRST-CITIZENS INVESTOR SERVICES, INC.; FIRST-CITIZENS BANK & TRUST.

SVB WEALTH is under common control with the firm.

CRD #: 172832

Business Address: ONE FEDERAL STREET
30TH FLOOR
BOSTON, MA 02110

Firm Operations



Organization Affiliates (continued)

Effective Date:	07/01/2022
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	SVB INVESTMENT SERVICES INC IS AFFILIATED WITH SVB WEALTH LLC THROUGH COMMON CONTROL PARENT ENTITY FIRST CITIZENS BANK & TRUST.

SVB ASSET MANAGEMENT is under common control with the firm.

CRD #:	124567
Business Address:	505 HOWARD STREET 3RD FLOOR SAN FRANCISCO, CA 94105
Effective Date:	05/29/2013
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	SVB ASSET MANAGEMENT AND SVB INVESTMENT SERVICES, INC. ARE UNDER COMMON CONTROL BECAUSE THE ULTIMATE PARENT OF EACH IS FIRST CITIZENS BANK & TRUST.

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

Firm Operations



Organization Affiliates (continued)

FIRST CITIZENS BANK & TRUST COMPANY is a State Member Bank of the Federal Reserve System and controls the firm.

Business Address:	4300 SIX FORKS RD RALEIGH, NC 27609
Effective Date:	03/27/2023
Description:	SVB INVESTMENT SERVICES INC IS OWNED BY FIRST CITIZENS BANK & TRUST COMPANY.

End of Report



This page is intentionally left blank.