BrokerCheck Report

HUNTER ASSOCIATES LLC

CRD# 30177

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.

HUNTER ASSOCIATES LLC

CRD# 30177

SEC# 8-44779

Main Office Location

436 SEVENTH AVENUE
KOPPERS BUILDING, 27TH FLOOR
PITTSBURGH, PA 15219-1818
Regulated by FINRA Philadelphia Office

Mailing Address

436 SEVENTH AVENUE, 27TH FLOOR
PITTSBURGH, PA 15219

Business Telephone Number

(412) 471-4191

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 limited liability company.

This firm was formed in Delaware on 01/01/2016.

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
- 38 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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 01/01/2016.

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.

HUNTER ASSOCIATES INVESTMENT MANAGEMENT LLC

Doing business as HUNTER ASSOCIATES LLC

CRD# 30177

SEC# 8-44779

Main Office Location

436 SEVENTH AVENUE
KOPPERS BUILDING, 27TH FLOOR
PITTSBURGH, PA 15219-1818

Regulated by FINRA Philadelphia Office

Mailing Address

436 SEVENTH AVENUE, 27TH FLOOR
PITTSBURGH, PA 15219

Business Telephone Number

(412) 471-4191

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):	HUNTER ASSOCIATES HOLDINGS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	MEMBER
Position Start Date	01/2016
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):	CLARK, PATRICK JAMES
	5314331
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO
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):	MARSHALL, BRADLEY JOHN
	2047270
Is this a domestic or foreign entity or an individual?	Individual
Position	CFO, TREASURER, DIRECTOR
Position Start Date	07/1992

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):	MCCULLOCH, ROBERT SPITTAL III 730963
Is this a domestic or foreign entity or an individual?	Individual
Position	VICE PRESIDENT,DIRECTOR
Position Start Date	06/2011
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):	SNYDER, ERICA LYNN 3075140
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT,CEO,DIRECTOR
Position Start Date	04/2013
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

No information reported.

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 38 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	04/21/1992

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	07/01/1992

Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	04/17/1997
Arizona	Approved	11/02/1994
California	Approved	09/04/1992
Colorado	Approved	08/12/1992
Connecticut	Approved	08/12/1994
Delaware	Approved	11/19/2025
District of Columbia	Approved	09/05/1992
Florida	Approved	08/25/1992
Georgia	Approved	08/24/1994
Illinois	Approved	06/08/1993
Indiana	Approved	07/23/1993
Iowa	Approved	08/12/1994
Kentucky	Approved	11/01/1993
Maine	Approved	09/02/1994
Maryland	Approved	07/10/1992
Massachusetts	Approved	07/09/1992
Michigan	Approved	08/31/1994
Minnesota	Approved	09/07/1994
Mississippi	Approved	01/03/2023
Missouri	Approved	12/04/1992
Montana	Approved	01/23/2008
Nevada	Approved	09/14/2007
New Hampshire	Approved	10/17/1994
New Jersey	Approved	07/19/1993
New York	Approved	07/08/1992
North Carolina	Approved	08/09/1994
Ohio	Approved	07/09/1992
Oregon	Approved	03/25/2011
Pennsylvania	Approved	06/30/1992
Rhode Island	Approved	05/14/2026
South Carolina	Approved	04/25/1994
Tennessee	Approved	08/30/1994
Texas	Approved	09/02/1992

U.S. States & Territories	Status	Date Effective
Utah	Approved	04/19/2000
Virginia	Approved	08/22/1994
Washington	Approved	08/19/1994
West Virginia	Approved	09/08/1992
Wyoming	Approved	07/03/2024

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 9 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Mutual fund retailer
U S. government securities broker
Municipal securities dealer
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Put and call broker or dealer or option writer
Investment advisory services
Non-exchange member arranging for transactions in listed securities by exchange member

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:	05/20/1992
Description:	APPLICANT CLEARS TRANSACTIONS ON A FULLY DISCLOSED BASIS THROUGH PERSHING LLC.

Firm Operations

Industry Arrangements

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

Name:	PERSHING LLC
CRD #:	7560
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	05/20/1992
Description:	APPLICANT CLEARS TRANSACTIONS ON A FULLY DISCLOSED BASIS THROUGH PERSHING LLC.

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:	05/20/1992
Description:	APPLICANT CLEARS TRANSACTIONS ON A FULLY DISCLOSED BASIS THROUGH PERSHING LLC.

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
Effective Date:	05/20/1992
Description:	APPLICANT CLEARS TRANSACTIONS ON A FULLY DISCLOSED BASIS THROUGH PERSHING LLC.

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.

HUNTER PRIVATE CAPITAL ADVISORS, LLC is under common control with the firm.

CRD #:	333651
Business Address:	436 SEVENTH AVENUE KOPPERS BUILDING, 27TH FLOOR PITTSBURGH, PA 15317
Effective Date:	01/10/2025
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	COMMON CONTROL ENTITY OF HUNTER ASSOCIATES HOLDINGS, LLC

HUNTER PRIVATE CAPITAL I LLC is controlled by the firm.

Business Address:	436 SEVENTH AVE KOPPERS BUILDING FL 27 PITTSBURGH, PA 15219
Effective Date:	09/09/2019
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	HUNTER PRIVATE CAPITAL I LLC, THE MANAGER OF A PRIVATE INVESTMENT FUND, IS A WHOLLY OWNED SUBSIDIARY OF THE APPLICANT.

Firm Operations

Organization Affiliates (continued)

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**

Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0

Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final 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 involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Current Status:	Final

Allegations: ON DECEMBER 6, 1996, HUNTER ASSOCIATES, INC.
FILED AN APPLICATION FOR REGISTRATION AS A DEALER IN ALABAMA
WITH ADVICE THAT NO OFFERS OR SALES HAD BEEN MADE IN ALABAMA.
INFORMATION FROM THE CLEARING FIRM DISCLOSED 6 ALABAMA
ACCOUNTS
(1 FAMILY HAD 5). BASED UPON APPARENT VIOLATIONS OF SECTIONS
8-6-3(a) AND 8-6-3(j)(1) CODE OF ALABAMA 1975, FOR TRANSACTING
SECURITIES ACTIVITIES WITHOUT BENEFIT OF REGISTRATION AND FOR
FILING AN APPLICATION FOR REGISTRATION WHICH CONTAINED A FALSE
STATEMENT, ON JANUARY 15, 1997, A CEASE AND DESIST ORDER WAS
ISSUED. HUNTER WAS SUBSEQUENTLY REQUIRED TO MAKE A
RESCISSION
OFFER FOR 1 BUY AND 1 SALE IN ONE OF THE ACCOUNTS (IT WAS
DETERMINED THAT 1 ACCOUNT HOLDER WAS NOT A RESIDENT OF
ALABAMA
AND THE 5 FAMILY ACCOUNTS CONTAINED TRANSACTIONS, EXCEPT 2,
THAT WERE EFFECTED WHILE RESIDENTS OF PENNSYLVANIA). THE
RESCISSION OFFER WAS REJECTED. IN RESOLUTION OF THE CEASE AND
DESIST ORDER, ON APRIL 7, 1997, A CONSENT ORDER WAS ENTERED AND
HUNTER WAS LEVIED AN ADMINISTRATIVE ASSESSMENT OF $1,000 AND
INVESTIGATIVE COSTS OF $500. THE APPLICATION FOR REGISTRATION
WAS REFERRED TO THE REGISTRATION DIVISION TO CONTINUE TO
PROCESS THE APPLICATION FOR REGISTRATION AS A DEALER IN
ALABAMA.

Initiated By: AL

Date Initiated: 01/15/1997

Docket/Case Number: CD-97-0001

URL for Regulatory Action:

Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Consent

Resolution Date: 01/15/1997

Sanctions Ordered: Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details:	ISSUED A CONSENT ORDER CO-97-0001) APRIL 8, 1997.
Regulator Statement	SAME AS ALLEGATIONS CONTACT: JAMES G PUGH (334) 242-2984

Reporting Source:	Firm
Current Status:	Final
Allegations:	CEASE AND DESIST ORDER ISSUED ALLEGING THAT BUSINESS WAS TRANSACTED IN THE STATE OF ALABAMA AS A DEALER WHILE UNREGISTERED AND FOR FILING AN APPLICATION FOR REGISTRATION THAT CONTAINED A FALSE STATEMENT THAT NO OFFERS AND/OR SALES WERE BEING MADE UNTIL FINAL APPROVAL OF REGISTRATION.
Initiated By:	ALABAMA SECURITIES COMMISSION
Date Initiated:	01/15/1997
Docket/Case Number:	NO. CO-97-0001
Principal Product Type:	Equity - OTC
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	
Resolution:	Settled
Resolution Date:	04/17/1997
Sanctions Ordered:	Monetary/Fine $1,500.00
Other Sanctions Ordered:	
Sanction Details:	ON 04/17/1997, APPLICANT PAID $1,000 AS AN ADMINISTRATION ASSESMENT AND $500 AS PARTIAL REIMBURSEMENT OF ALABAMA SECURITES COMMISSION COSTS.
Firm Statement	A RECISION OFFER WAS MADE TO AND REJECTED BY THE CLIENT. HUNTER ASSOCIATES, INC. WAS ORDERED TO ENSURE THAT PROPER PROCEDURES WERE ENACTED TO PRECLUDE ANY FUTURE VIOLATIONS. THE FIRM PAID $1,000 AS AN ADMINISTRATION ASSESSMENT AND $500 AS PARTIAL REIMBURSEMENT OF ALABAMA SECURITIES COMMISSION COSTS. AN ORDER OF THE COMMISSION WAS ISSUED GRANTING REGISTRATION AND FINAL RESOLUTION TO THIS MATTER.

End of Report

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