

BrokerCheck Report

Andrew Harrison Peatross Jr

CRD# 1500818

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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:
 - o 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
 - o 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.



Andrew H. Peatross Jr

CRD# 1500818

Currently employed by and registered with the following Firm(s):

IA RBC CAPITAL MARKETS, LLC
 3800 Glenwood Avenue
 Suite 400
 RALEIGH, NC 27612
 CRD# 31194
 Registered with this firm since: 11/02/2017

B RBC CAPITAL MARKETS, LLC
 3800 Glenwood Avenue
 Suite 400
 RALEIGH, NC 27612
 CRD# 31194
 Registered with this firm since: 11/02/2017

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 22 Self-Regulatory Organizations
- 15 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

- B WELLS FARGO CLEARING SERVICES, LLC**
 CRD# 19616
 RALEIGH, NC
 01/2009 - 11/2017
- IA WELLS FARGO CLEARING SERVICES, LLC**
 CRD# 19616
 ST. LOUIS, MO
 01/2009 - 11/2017
- IA SCOTT & STRINGFELLOW, LLC**
 CRD# 6255
 RICHMOND, VA
 03/2001 - 02/2009

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 22 SROs and is licensed in 15 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**

Main Office Address: **200 VESEY ST.
NEW YORK, NY 10281**

Firm CRD#: **31194**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	11/02/2017
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	11/02/2017
B	FINRA	General Securities Representative	Approved	11/02/2017
B	Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/01/2020
B	MEMX LLC	General Securities Representative	Approved	11/02/2020
B	MIAX PEARL, LLC	General Securities Representative	Approved	11/01/2020
B	NYSE American LLC	General Securities Representative	Approved	11/02/2017
B	NYSE Arca, Inc.	General Securities Representative	Approved	11/02/2017
B	NYSE National, Inc.	General Securities Representative	Approved	11/18/2020

Broker Qualifications



Employment 1 of 1, continued

SRO	Category	Status	Date
B NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
B Nasdaq BX, Inc.	General Securities Representative	Approved	11/02/2017
B Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B Nasdaq ISE, LLC	General Securities Representative	Approved	11/02/2017
B Nasdaq PHLX LLC	General Securities Representative	Approved	11/02/2017
B Nasdaq Stock Market	General Securities Representative	Approved	11/02/2017
B New York Stock Exchange	General Securities Representative	Approved	11/02/2017

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	11/02/2017
B Connecticut	Agent	Approved	08/16/2021
B Delaware	Agent	Approved	09/22/2021
B District of Columbia	Agent	Approved	11/02/2017
B Florida	Agent	Approved	11/02/2017
B Georgia	Agent	Approved	11/02/2017
B Idaho	Agent	Approved	11/02/2017
B Kentucky	Agent	Approved	01/25/2019
B Maryland	Agent	Approved	11/02/2017
B New York	Agent	Approved	11/02/2017
B North Carolina	Agent	Approved	11/02/2017
IA North Carolina	Investment Adviser Representative	Approved	11/02/2017
B Pennsylvania	Agent	Approved	01/24/2022



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	South Carolina	Agent	Approved	11/02/2017
B	Tennessee	Agent	Approved	11/02/2017
B	Virginia	Agent	Approved	11/02/2017

Branch Office Locations

RBC CAPITAL MARKETS, LLC
3800 Glenwood Avenue
Suite 400
RALEIGH, NC 27612

RBC CAPITAL MARKETS, LLC
Raleigh, NC



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 2 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	01/26/2001
B General Securities Sales Supervisor - Options Module Examination	Series 9	11/10/2000

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	05/17/1986

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	07/16/1986

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 01/2009 - 11/2017	WELLS FARGO CLEARING SERVICES, LLC	19616	RALEIGH, NC
IA 01/2009 - 11/2017	WELLS FARGO CLEARING SERVICES, LLC	19616	RALEIGH, NC
IA 03/2001 - 02/2009	SCOTT & STRINGFELLOW, LLC	6255	RALEIGH, NC
B 05/1999 - 02/2009	SCOTT & STRINGFELLOW, LLC	6255	RALEIGH, NC
B 01/1995 - 05/1999	SCOTT & STRINGFELLOW, INC.	3309	RICHMOND, VA
B 05/1988 - 02/1995	WHEAT, FIRST SECURITIES, INC.	6124	CHARLOTTE, NC
B 02/1988 - 05/1988	THOMSON MCKINNON SECURITIES INC.	829	
B 05/1986 - 02/1988	CAROLINA SECURITIES CORPORATION	142	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
11/2017 - Present	RBC Capital Markets, LLC	Financial Advisor	Y	Raleigh, NC, United States
11/2016 - 11/2017	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	RALEIGH, NC, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	RALEIGH, NC, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

CO-TRUSTEE FOR BROTHER, INVESTMENT RELATED, RALEIGH, NC, START DATE: 2/2009, 5 HOURS PER MONTH.

Registration and Employment History



Other Business Activities, continued

(2)Name of Business: Wake County Smart Start

Business Description: Pre K programs for under privileged

Business is investment-related: no

Address: 4901 West Edge Drive Raleigh N.C. 27606

Capacity: Committee/Council Member (not associated with the Board of Directors)

Start Date: 09/10/19

Duties: consulting on the advancement committee on ways to approach Foundations,Counties and corporations on how to work together for the community.

Hours devoted per month: one hour every 2 months

Hours devoted during securities hours per month: 0

End of Report



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