

BrokerCheck Report

ROBERT EDWARD SPIRES JR

CRD# 2311376

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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:
 - 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.

**ROBERT E. SPIRES JR**

CRD# 2311376

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

IA FIRST CITIZENS INVESTOR SERVICES, INC.

1230 MAIN STREET
COLUMBIA, SC 29201
CRD# 44430

Registered with this firm since: 04/01/2021

IA FIRST CITIZENS ASSET MANAGEMENT, INC

8540 COLONNADE CENTER DRIVE
RALEIGH, NC 27615
CRD# 140777

Registered with this firm since: 01/31/2007

B FIRST CITIZENS INVESTOR SERVICES, INC.

1230 MAIN STREET
COLUMBIA, SC 29201
CRD# 44430

Registered with this firm since: 01/04/2016

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:

- 1 Self-Regulatory Organization
- 35 U.S. states and territories

This broker has passed:

- 6 Principal/Supervisory Exams
- 5 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

B FIRST CITIZENS SECURITIES CORPORATION

CRD# 140161
COLUMBIA, SC
01/2007 - 01/2016

B WACHOVIA SECURITIES, LLC

CRD# 19616
ST. LOUIS, MO
06/2002 - 01/2007

IA WACHOVIA SECURITIES, LLC

CRD# 19616
ST. LOUIS, MO
06/2002 - 01/2007

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 1 SRO and is licensed in 35 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **FIRST CITIZENS ASSET MANAGEMENT, INC**
 Main Office Address: **8540 COLONNADE CENTER DRIVE
 RALEIGH, NC 27615**
 Firm CRD#: **140777**

	U.S. State/ Territory	Category	Status	Date
IA	South Carolina	Investment Adviser Representative	Approved	01/31/2007

Branch Office Locations

8540 COLONNADE CENTER DRIVE
 RALEIGH, NC 27615

Employment 2 of 2

Firm Name: **FIRST CITIZENS INVESTOR SERVICES, INC.**
 Main Office Address: **8540 COLONNADE CENTER DRIVE
 RALEIGH, NC 27615**
 Firm CRD#: **44430**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	01/04/2016
B	FINRA	General Securities Principal	Approved	01/04/2016
B	FINRA	General Securities Representative	Approved	01/04/2016
B	FINRA	Municipal Securities Principal	Approved	01/04/2016
B	FINRA	Municipal Securities Representative	Approved	01/04/2016

Broker Qualifications



Employment 2 of 2, continued

	SRO	Category	Status	Date
B	FINRA	Operations Professional	Approved	01/04/2016
B	FINRA	Compliance Officer	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	02/14/2017
B	Arkansas	Agent	Approved	01/04/2016
B	California	Agent	Approved	01/04/2016
B	Colorado	Agent	Approved	01/04/2016
B	Delaware	Agent	Approved	01/04/2016
B	District of Columbia	Agent	Approved	02/24/2017
B	Florida	Agent	Approved	01/04/2016
B	Georgia	Agent	Approved	01/04/2016
B	Illinois	Agent	Approved	02/14/2017
B	Indiana	Agent	Approved	01/04/2016
B	Iowa	Agent	Approved	02/24/2017
B	Kansas	Agent	Approved	02/14/2017
B	Kentucky	Agent	Approved	01/04/2016
B	Louisiana	Agent	Approved	01/04/2016
B	Maine	Agent	Approved	02/24/2017
B	Maryland	Agent	Approved	02/14/2017
B	Massachusetts	Agent	Approved	01/04/2016
B	Michigan	Agent	Approved	02/14/2017



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Mississippi	Agent	Approved	01/04/2016
B	Nevada	Agent	Approved	01/04/2016
B	New Jersey	Agent	Approved	01/04/2016
B	New York	Agent	Approved	01/04/2016
B	North Carolina	Agent	Approved	01/04/2016
B	Ohio	Agent	Approved	01/04/2016
B	Oklahoma	Agent	Approved	02/23/2017
B	Oregon	Agent	Approved	02/23/2017
B	Pennsylvania	Agent	Approved	01/04/2016
B	South Carolina	Agent	Approved	01/04/2016
IA	South Carolina	Investment Adviser Representative	Approved	04/01/2021
B	Tennessee	Agent	Approved	01/04/2016
B	Texas	Agent	Approved	01/04/2016
B	Utah	Agent	Approved	01/04/2016
B	Virgin Islands	Agent	Approved	04/13/2021
B	Virginia	Agent	Approved	01/04/2016
B	West Virginia	Agent	Approved	01/04/2016
B	Wisconsin	Agent	Approved	02/24/2017

Branch Office Locations

FIRST CITIZENS INVESTOR SERVICES, INC.
1230 MAIN STREET

Broker Qualifications



Employment 2 of 2, continued

COLUMBIA, SC 29201



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 6 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Compliance Officer Examination	Series 14	01/02/2023
B Financial and Operations Principal Examination	Series 27	11/26/2007
B General Securities Sales Supervisor - General Module Examination	Series 10	10/05/1999
B General Securities Sales Supervisor - Options Module Examination	Series 9	10/05/1999
B Municipal Securities Principal Examination	Series 53	05/06/1998
B General Securities Principal Examination	Series 24	02/13/1997

General Industry/Product Exams

Exam	Category	Date
B Municipal Securities Representative Examination	Series 52TO	09/25/2025
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	08/16/1994
B Investment Company Products/Variable Contracts Representative Examination	Series 6	01/25/1993

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/23/1999
B Uniform Securities Agent State Law Examination	Series 63	01/25/1993

Broker Qualifications



Industry Exams this Broker has Passed, continued

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 01/2007 - 01/2016	FIRST CITIZENS SECURITIES CORPORATION	140161	COLUMBIA, SC
B 06/2002 - 01/2007	WACHOVIA SECURITIES, LLC	19616	ST. LOUIS, MO
IA 06/2002 - 01/2007	WACHOVIA SECURITIES, LLC	19616	COLUMBIA, SC
B 02/2000 - 06/2002	WACHOVIA SECURITIES, INC.	431	CHARLOTTE, NC
B 05/1994 - 02/2000	WACHOVIA BROKERAGE SERVICE	17503	WINSTON SALEM, NC
B 01/1993 - 05/1994	GNA SECURITIES, INC.	10465	GLEN ALLEN, VA

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
01/2016 - Present	FIRST CITIZENS INVESTOR SERVICES, INC.	Mass Transfer	Y	COLUMBIA, SC, United States
01/2007 - Present	First Citizens Asset Management	DIRECTOR OF COMPLIANCE AND OPERATIONS	Y	Columbia, SC, United States
01/2007 - 01/2016	FIRST CITIZENS SECURITIES CORPORATION	DIRECTOR OF COMPLIANCE AND OPERATIONS	Y	COLUMBIA, SC, 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.

1) First Citizens Asset Management; 1230 Main Street Columbia SC, 29201; Began 02/06/2007; Investment Advisor Representative; 40

Registration and Employment History



Other Business Activities, continued

hours/month during trading hours. Investment Related; Duties are supervision of regional managers; FCAM offers investment advisory services to clients for a fee. Compensation is part of salary paid by FCIS. No direct compensation received from FCAM.

2) RELENTLESS TRAINING CORPS

POSITION: Partner NATURE: Personal and group/team fitness training and conditioning INVESTMENT RELATED: No NUMBER OF HOURS: 3

SECURITIES TRADING HOURS: 0 START DATE: 10/18/2013

ADDRESS: West Columbia SC 29169, United States

DESCRIPTION: Personal and group fitness training, online meal and workout planning.

End of Report



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