BrokerCheck Report

PARTH PARIKH

CRD# 7650447

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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Thank you for using FINRA BrokerCheck.

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.

PARTH PARIKH

CRD# 7650447

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

IA **HSBC SECURITIES (USA) INC.**
Fremont, CA
CRD# 19585
Registered with this firm since: 10/07/2025

B **HSBC SECURITIES (USA) INC.**
239 Van Rensselaer Street
Floor 2
Buffalo, NY 14210
CRD# 19585
Registered with this firm since: 10/07/2025

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:

- 14 Self-Regulatory Organizations
- 53 U.S. states and territories

This broker has passed:

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

Registration History

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

B **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
SAN JOSE, CA
09/2024 - 08/2025

IA **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
NEW YORK, NY
09/2024 - 08/2025

B **PRUCO SECURITIES, LLC.**
CRD# 5685
HOUSTON, TX
07/2024 - 08/2024

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 14 SROs and is licensed in 53 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **HSBC SECURITIES (USA) INC.**

Main Office Address: **66 HUDSON BOULEVARD**
NEW YORK CITY, NY 10001

Firm CRD#: **19585**

	SRO	Category	Status	Date
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	10/07/2025
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	10/07/2025
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	10/07/2025
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	10/07/2025
B	Cboe Exchange, Inc.	General Securities Representative	Approved	10/07/2025
B	FINRA	General Securities Representative	Approved	10/07/2025
B	Investors' Exchange LLC	General Securities Representative	Approved	10/07/2025
B	NYSE American LLC	General Securities Representative	Approved	10/07/2025
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/07/2025
B	Nasdaq ISE, LLC	General Securities Representative	Approved	10/07/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	10/07/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	10/07/2025
B	Nasdaq Texas, LLC	General Securities Representative	Approved	10/07/2025
B	New York Stock Exchange	General Securities Representative	Approved	10/07/2025

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/07/2025
IA	Alabama	Investment Adviser Representative	Approved	10/22/2025
B	Alaska	Agent	Approved	10/07/2025
IA	Alaska	Investment Adviser Representative	Approved	10/22/2025
B	Arizona	Agent	Approved	10/07/2025
B	Arkansas	Agent	Approved	10/07/2025
B	California	Agent	Approved	10/07/2025
IA	California	Investment Adviser Representative	Approved	10/07/2025
B	Colorado	Agent	Approved	10/07/2025
B	Connecticut	Agent	Approved	10/07/2025
B	Delaware	Agent	Approved	10/07/2025
IA	Delaware	Investment Adviser Representative	Approved	10/22/2025
B	District of Columbia	Agent	Approved	10/07/2025
IA	District of Columbia	Investment Adviser Representative	Approved	11/10/2025
B	Florida	Agent	Approved	10/07/2025
B	Georgia	Agent	Approved	10/07/2025
IA	Georgia	Investment Adviser Representative	Approved	10/23/2025
B	Hawaii	Agent	Approved	10/07/2025
B	Idaho	Agent	Approved	10/07/2025
B	Illinois	Agent	Approved	10/07/2025
B	Indiana	Agent	Approved	10/07/2025

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Iowa	Agent	Approved	10/07/2025
IA	Iowa	Investment Adviser Representative	Approved	10/22/2025
B	Kansas	Agent	Approved	10/07/2025
IA	Kansas	Investment Adviser Representative	Approved	10/22/2025
B	Kentucky	Agent	Approved	10/07/2025
B	Louisiana	Agent	Approved	10/07/2025
IA	Louisiana	Investment Adviser Representative	Approved	10/22/2025
B	Maine	Agent	Approved	10/07/2025
IA	Maine	Investment Adviser Representative	Approved	10/22/2025
B	Maryland	Agent	Approved	10/07/2025
IA	Maryland	Investment Adviser Representative	Approved	10/22/2025
B	Massachusetts	Agent	Approved	10/07/2025
B	Michigan	Agent	Approved	10/07/2025
B	Minnesota	Agent	Approved	10/07/2025
IA	Minnesota	Investment Adviser Representative	Approved	10/22/2025
B	Mississippi	Agent	Approved	10/07/2025
B	Missouri	Agent	Approved	10/07/2025
B	Montana	Agent	Approved	10/07/2025
IA	Montana	Investment Adviser Representative	Approved	10/22/2025
B	Nebraska	Agent	Approved	10/07/2025
IA	Nebraska	Investment Adviser Representative	Approved	10/22/2025

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nevada	Agent	Approved	10/07/2025
B	New Hampshire	Agent	Approved	10/07/2025
B	New Jersey	Agent	Approved	10/07/2025
B	New Mexico	Agent	Approved	10/07/2025
IA	New Mexico	Investment Adviser Representative	Approved	10/23/2025
B	New York	Agent	Approved	10/07/2025
B	North Carolina	Agent	Approved	10/07/2025
IA	North Carolina	Investment Adviser Representative	Approved	10/22/2025
B	North Dakota	Agent	Approved	10/07/2025
IA	North Dakota	Investment Adviser Representative	Approved	10/31/2025
B	Ohio	Agent	Approved	10/08/2025
B	Oklahoma	Agent	Approved	10/07/2025
B	Oregon	Agent	Approved	10/07/2025
B	Pennsylvania	Agent	Approved	10/07/2025
B	Puerto Rico	Agent	Approved	10/07/2025
IA	Puerto Rico	Investment Adviser Representative	Approved	10/22/2025
B	Rhode Island	Agent	Approved	10/07/2025
B	South Carolina	Agent	Approved	10/07/2025
B	South Dakota	Agent	Approved	10/07/2025
B	Tennessee	Agent	Approved	10/07/2025
B	Texas	Agent	Approved	10/07/2025

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Texas	Investment Adviser Representative	Approved	10/22/2025
B	Utah	Agent	Approved	10/07/2025
IA	Utah	Investment Adviser Representative	Approved	10/22/2025
B	Vermont	Agent	Approved	10/07/2025
B	Virgin Islands	Agent	Approved	10/07/2025
IA	Virgin Islands	Investment Adviser Representative	Approved	10/30/2025
B	Virginia	Agent	Approved	10/07/2025
B	Washington	Agent	Approved	10/07/2025
B	West Virginia	Agent	Approved	10/07/2025
B	Wisconsin	Agent	Approved	10/07/2025
B	Wyoming	Agent	Approved	10/07/2025

Branch Office Locations

HSBC SECURITIES (USA) INC.
239 Van Rensselaer Street
Floor 2
Buffalo, NY 14210

HSBC SECURITIES (USA) INC.
Fremont, CA

HSBC SECURITIES (USA) INC.
San Jose, CA

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination	Series 7TO	07/24/2024
B	Securities Industry Essentials Examination	SIE	11/28/2022

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	04/06/2024
B	Uniform Securities Agent State Law Examination	Series 63	07/31/2023

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.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	09/2024 - 08/2025	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SAN JOSE, CA
IA	09/2024 - 08/2025	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SAN JOSE, CA
B	07/2024 - 08/2024	PRUCO SECURITIES, LLC.	5685	HOUSTON, TX
IA	07/2024 - 08/2024	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	HOUSTON, TX

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
10/2025 - Present	HSBC SECURITIES (USA) INC.	WEALTH RELATIONSHIP MANAGER	Y	Fremont, CA, United States
09/2025 - Present	HSBC BANK USA, N.A.	WEALTH RELATIONSHIP MANAGER	Y	Fremont, CA, United States
11/2024 - 08/2025	Bank of America, N.A.	ADP Financial Solutions Advisor Stage I (ADP FSA I	Y	Cupertino, CA, United States
08/2024 - 08/2025	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Financial Solutions Advisor Registration Candidate	Y	CUPERTINO, CA, United States
06/2024 - 08/2024	PRUCO SECURITIES, LLC.	REGISTERED REP	Y	HOUSTON, TX, United States
10/2022 - 03/2024	WELLS FARGO BANK, NA	Teller/Relationship banker	Y	SOUTH SAN FRANCISCO, CA, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
08/2022 - 12/2023	University of the Cumberlands	Student	N	Williamsburg, KY, United States
10/2022 - 02/2023	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SOUTH SAN FRANCISCO, CA, United States
05/2022 - 08/2022	BANK OF AMERICA	Relationship banker	Y	SAN JOSE, CA, United States
12/2021 - 05/2022	TRAVEL + LEISURE	Tour Guide	N	SAN FRANCISCO, CA, United States
06/2021 - 04/2022	EKTA LLC	Manager	N	OAKLAND, CA, United States
01/2017 - 06/2021	SAN JOSE STATE UNIVERSITY/CSU	Student full time/ part time teaching assistant	N	SAN JOSE, CA, United States
05/2020 - 09/2020	NSR HOTELS	Intern hotel management	N	ATASCADERO, CA, United States
01/2015 - 12/2016	Bhavans	Student	N	Vadodara, India

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.

Dual hatted as a Bank Officer for HSBC Bank (USA) N.A., an affiliate of HSBC Securities (USA) Inc., engaging in the sale of bank related products and services. This position will be in conjunction with my current role as a registered representative with HSBC Securities (USA) Inc.

1. The name of the other business : Parikh brothers and associates
2. Whether the business is investment-related: No
3. The address of the other business : 809 auzerias ave, Unit 258 San Jose, CA 95126
4. The nature of the other business: Tech
5. Your position: Owner
6. Title/Relationship with the other business: Owner
7. The start date of your relationship: 3/16/2024
8. The approximate number of hours/months you devote to the other business: 20 Hours monthly / 25 days per annum
9. The number of hours you devote to the other business during securities trading hours: None
10. Briefly describe your duties relating to the other business: Work on managing and giving direction to run the operations and day to day activities.

End of Report

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