

BrokerCheck Report

STEVEN JOHN SOJA

CRD# 1695711

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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.



STEVEN J. SOJA

CRD# 1695711

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

B FIRST REPUBLIC SECURITIES COMPANY, LLC
 1 Front Street
 San Francisco, CA 94111
 CRD# 105108
 Registered with this firm since: 12/07/2015

IA FIRST REPUBLIC INVESTMENT MANAGEMENT, INC.
 One Front Street
 San Francisco, CA 94111
 CRD# 108559
 Registered with this firm since: 12/07/2015

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
- 52 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA CREDIT SUISSE SECURITIES (USA) LLC**
 CRD# 816
 NEW YORK, NY
 06/2006 - 12/2015
- B CREDIT SUISSE SECURITIES (USA) LLC**
 CRD# 816
 SAN FRANCISCO, CA
 06/2006 - 12/2015
- IA BANC OF AMERICA INVESTMENT SERVICES, INC.**
 CRD# 16361
 BOSTON, MA
 11/2003 - 06/2006

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 52 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **FIRST REPUBLIC INVESTMENT MANAGEMENT, INC.**
 Main Office Address: **111
 PINE STREET
 SAN FRANCISCO, CA 94111-5602**
 Firm CRD#: **108559**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	12/07/2015
IA	Florida	Investment Adviser Representative	Approved	02/18/2016
IA	Hawaii	Investment Adviser Representative	Approved	02/25/2016
IA	Massachusetts	Investment Adviser Representative	Approved	02/29/2016

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

Employment 2 of 2

Firm Name: **FIRST REPUBLIC SECURITIES COMPANY, LLC**
 Main Office Address: **111 PINE STREET
 SAN FRANCISCO, CA 94111**
 Firm CRD#: **105108**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	12/07/2015



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	12/07/2015
B	Alaska	Agent	Approved	12/07/2015
B	Arizona	Agent	Approved	12/07/2015
B	Arkansas	Agent	Approved	12/07/2015
B	California	Agent	Approved	12/07/2015
B	Colorado	Agent	Approved	12/07/2015
B	Connecticut	Agent	Approved	12/07/2015
B	Delaware	Agent	Approved	12/07/2015
B	District of Columbia	Agent	Approved	12/07/2015
B	Florida	Agent	Approved	12/07/2015
B	Georgia	Agent	Approved	12/07/2015
B	Hawaii	Agent	Approved	12/07/2015
B	Idaho	Agent	Approved	12/07/2015
B	Illinois	Agent	Approved	12/07/2015
B	Indiana	Agent	Approved	12/07/2015
B	Iowa	Agent	Approved	12/07/2015
B	Kansas	Agent	Approved	12/07/2015
B	Kentucky	Agent	Approved	12/07/2015
B	Louisiana	Agent	Approved	12/07/2015
B	Maine	Agent	Approved	12/07/2015
B	Maryland	Agent	Approved	12/07/2015



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Massachusetts	Agent	Approved	12/07/2015
B	Michigan	Agent	Approved	12/07/2015
B	Minnesota	Agent	Approved	12/07/2015
B	Mississippi	Agent	Approved	12/07/2015
B	Missouri	Agent	Approved	12/07/2015
B	Montana	Agent	Approved	12/07/2015
B	Nebraska	Agent	Approved	12/07/2015
B	Nevada	Agent	Approved	12/07/2015
B	New Hampshire	Agent	Approved	12/07/2015
B	New Jersey	Agent	Approved	12/07/2015
B	New Mexico	Agent	Approved	12/07/2015
B	New York	Agent	Approved	12/07/2015
B	North Carolina	Agent	Approved	12/07/2015
B	North Dakota	Agent	Approved	12/07/2015
B	Ohio	Agent	Approved	12/07/2015
B	Oklahoma	Agent	Approved	12/07/2015
B	Oregon	Agent	Approved	12/07/2015
B	Pennsylvania	Agent	Approved	12/07/2015
B	Puerto Rico	Agent	Approved	06/18/2018
B	Rhode Island	Agent	Approved	12/07/2015
B	South Carolina	Agent	Approved	12/07/2015



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	South Dakota	Agent	Approved	12/07/2015
B	Tennessee	Agent	Approved	12/07/2015
B	Texas	Agent	Approved	12/07/2015
B	Utah	Agent	Approved	12/07/2015
B	Vermont	Agent	Approved	12/07/2015
B	Virginia	Agent	Approved	12/07/2015
B	Washington	Agent	Approved	12/07/2015
B	West Virginia	Agent	Approved	12/07/2015
B	Wisconsin	Agent	Approved	12/07/2015
B	Wyoming	Agent	Approved	12/07/2015

Branch Office Locations

FIRST REPUBLIC SECURITIES COMPANY, LLC

1 Front Street
 11th & 12th Floors
 San Francisco, CA 94111



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.

This individual has passed 0 principal/supervisory exams, 3 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 Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	12/04/1995
B General Securities Representative Examination	Series 7	12/18/1994

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	01/25/2016
B Uniform Securities Agent State Law Examination	Series 63	06/27/1995

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 06/2006 - 12/2015	CREDIT SUISSE SECURITIES (USA) LLC	816	SAN FRANCISCO, CA
IA 06/2006 - 12/2015	CREDIT SUISSE SECURITIES (USA) LLC	816	SAN FRANCISCO, CA
B 11/2003 - 06/2006	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	SAN FRANCISCO, CA
IA 11/2003 - 06/2006	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	SAN FRANCISCO, CA
IA 05/2001 - 12/2003	WELLS FARGO INVESTMENTS, LLC	10582	SAN FRANCISCO, CA
B 05/2001 - 12/2003	WELLS FARGO INVESTMENTS, LLC	10582	SAN FRANCISCO, CA
B 10/1998 - 05/2001	WELLS FARGO SECURITIES INC.	17438	SAN FRANCISCO, CA
B 08/1995 - 10/1998	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 12/1994 - 08/1995	STERLING SECURITIES, INC.	11877	MANHASSET, NY

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
04/2017 - Present	First Republic Investment Management, Inc.	Wealth Manager	Y	San Francisco, CA, United States
04/2017 - Present	First Republic Securities Company, LLC	Wealth Manager	Y	San Francisco, CA, United States
12/2015 - 04/2017	FIRST REPUBLIC INVESTMENT MANAGEMENT, INC.	MANAGING DIRECTOR	Y	SAN FRANCISCO, CA, United States
12/2015 - 04/2017	FIRST REPUBLIC SECURITIES COMPANY LLC	MANAGING DIRECTOR	Y	SAN FRANCISCO, CA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
06/2014 - 12/2015	CREDIT SUISSE LENDING LLC	EMPLOYEE	N	SAN FRANCISCO, CA, United States
06/2006 - 12/2015	CREDIT SUISSE SECURITIES (USA) LLC	RELATIONSHIP MANAGER	Y	SAN FRANCISCO, CA, 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) I am a registered representative of First Republic Securities Company, LLC, a SEC and FINRA registered broker-dealer. I am also an investment adviser representative of First Republic Investment Management, Inc. (Firm CRD# 108559), an SEC registered investment adviser. The majority of my time is devoted to activities for First Republic Investment Management, Inc.

(2) Name: Family House Inc.

Address: North San Francisco, California

Investment-related: No

Nature of the business: Non-profit organization that offers housing to those seeking treatment at UCSF Children's Hospital

Role: Board Member, Chair of the Investment Committee

Start Date: April, 2017

Description of duties: Semi-annual meetings to oversee the guardianship of the organization's endowment, reviewing investments and ensuring compliance on current laws governing non-profit assets. Regular reporting to the Board on the Investment Committee's activities.

Number of hours each month: 4 hours

Number of hours during trading: None

(3) Name: Belvedere Housing Development Fund Company, Inc.

Address: Peekskill, New York

Investment-related: No

Nature of the business: Family owned real estate entity

Role: Secretary

Start Date: March 2016

Description of duties: Duties related to my role as Secretary

Number of hours each month: 1 hour

Number of hours during trading: None

(4) Name: Fairview Housing Development Fund Company, Inc.,

Name: South Broadway Housing Development Fund Company, Inc.

Name: Yorktown Housing Development Fund Company, Inc.

Name: White Plains Affordable Housing Development Fund Company, Inc.

Registration and Employment History



Other Business Activities, continued

Name: Madison Housing Development Fund Company, Inc.

Address: Peekskill, New York

Investment-related: No

Nature of the business: Family owned real estate entities

Role: Vice President and Board Member on all entities

Start Date: March, 2016

Description of duties: Board related duties

Number of hours each month: 1 hour

Number of hours during trading: None

End of Report



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