

## BrokerCheck Report

**DAVID JAYSON ROTHENBERG**

CRD# 1471503

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**DAVID J. ROTHENBERG**

CRD# 1471503

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

- B ARENA FINANCIAL SERVICES, LLC**  
 2500 Westchester Ave. Suite 401  
 Purchase, NY 10577  
 CRD# 281709  
 Registered with this firm since: 02/04/2021

**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
- 50 U.S. states and territories

**This broker has passed:**

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

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

- B PENSERRA SECURITIES, LLC**  
 CRD# 145994  
 ORINDA, CA  
 02/2020 - 02/2021
- B METLIFE INVESTMENTS SECURITIES, LLC**  
 CRD# 285684  
 Whippany, NJ  
 08/2017 - 08/2018
- B RUSSELL FINANCIAL SERVICES, INC.,  
 PART OF RUSSELL INVESTMENTS**  
 CRD# 21771  
 NEW YORK, NY  
 12/2010 - 04/2016

**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 50 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **ARENA FINANCIAL SERVICES, LLC**

Main Office Address: **405 LEXINGTON AVENUE, 59TH FLOOR  
NEW YORK, NY 10174**

Firm CRD#: **281709**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	02/04/2021
B	FINRA	General Securities Representative	Approved	02/04/2021
B	FINRA	Government Securities Representative	Approved	02/04/2021
B	FINRA	Securities Trader	Approved	02/04/2021

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	06/14/2021
B	Alaska	Agent	Approved	05/12/2021
B	Arizona	Agent	Approved	04/28/2021
B	Arkansas	Agent	Approved	06/14/2021
B	California	Agent	Approved	03/15/2021
B	Colorado	Agent	Approved	04/09/2021
B	Connecticut	Agent	Approved	05/12/2021
B	Delaware	Agent	Approved	06/01/2021
B	District of Columbia	Agent	Approved	06/14/2021

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	05/19/2021
B	Georgia	Agent	Approved	06/14/2021
B	Hawaii	Agent	Approved	06/08/2021
B	Idaho	Agent	Approved	04/21/2021
B	Illinois	Agent	Approved	05/17/2021
B	Indiana	Agent	Approved	06/14/2021
B	Iowa	Agent	Approved	03/12/2021
B	Kansas	Agent	Approved	06/14/2021
B	Kentucky	Agent	Approved	06/14/2021
B	Louisiana	Agent	Approved	06/14/2021
B	Maine	Agent	Approved	05/12/2021
B	Maryland	Agent	Approved	06/14/2021
B	Massachusetts	Agent	Approved	03/15/2021
B	Michigan	Agent	Approved	03/30/2021
B	Minnesota	Agent	Approved	04/10/2021
B	Mississippi	Agent	Approved	06/14/2021
B	Missouri	Agent	Approved	05/03/2021
B	Montana	Agent	Approved	04/22/2021
B	Nebraska	Agent	Approved	06/14/2021
B	Nevada	Agent	Approved	05/04/2021
B	New Hampshire	Agent	Approved	04/26/2021

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Jersey	Agent	Approved	03/15/2021
B	New Mexico	Agent	Approved	05/07/2021
B	New York	Agent	Approved	02/04/2021
B	North Carolina	Agent	Approved	03/16/2021
B	North Dakota	Agent	Approved	06/14/2021
B	Ohio	Agent	Approved	03/15/2021
B	Oklahoma	Agent	Approved	06/14/2021
B	Oregon	Agent	Approved	05/05/2021
B	Pennsylvania	Agent	Approved	03/09/2021
B	Rhode Island	Agent	Approved	05/13/2021
B	South Carolina	Agent	Approved	05/06/2021
B	South Dakota	Agent	Approved	06/14/2021
B	Texas	Agent	Approved	04/30/2021
B	Utah	Agent	Approved	04/01/2021
B	Vermont	Agent	Approved	04/09/2021
B	Virginia	Agent	Approved	04/29/2021
B	Washington	Agent	Approved	02/09/2021
B	West Virginia	Agent	Approved	05/06/2021
B	Wisconsin	Agent	Approved	06/14/2021
B	Wyoming	Agent	Approved	05/03/2021

## Broker Qualifications



### Employment 1 of 1, continued Branch Office Locations

**ARENA FINANCIAL SERVICES, LLC**  
2500 Westchester Ave. Suite 401  
Purchase, NY 10577

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## 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 1 principal/supervisory exam, 6 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	06/05/1991

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Trader Exam	Series 57TO	01/02/2023
<b>B</b> Government Securities Representative Examination	Series 72	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	08/03/2018
<b>B</b> Limited Representative-Equity Trader Exam	Series 55	11/13/2001
<b>B</b> National Commodity Futures Examination	Series 3	07/29/1986
<b>B</b> General Securities Representative Examination	Series 7	03/15/1986

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	04/03/1986

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/](http://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>B</b> 02/2020 - 02/2021	PENSERRA SECURITIES, LLC	145994	ORINDA, CA
<b>B</b> 08/2017 - 08/2018	METLIFE INVESTMENTS SECURITIES, LLC	285684	Whippany, NJ
<b>B</b> 12/2010 - 04/2016	RUSSELL FINANCIAL SERVICES, INC., PART OF RUSSELL INVESTMENTS	21771	NEW YORK, NY
<b>B</b> 04/2006 - 12/2010	RUSSELL IMPLEMENTATION SERVICES INC. PART OF RUSSELL INVESTMENTS	329	SEATTLE, WA
<b>B</b> 03/2004 - 05/2005	NOMURA SECURITIES INTERNATIONAL, INC.	4297	NEW YORK, NY
<b>B</b> 04/1999 - 07/2003	BARCLAYS GLOBAL INVESTORS SERVICES	39438	NEW YORK, NY
<b>B</b> 12/1992 - 02/1999	ITG INC.	29299	NEW YORK, NY
<b>B</b> 01/1987 - 10/1992	INSTINET CORPORATION	14408	NEW YORK, NY
<b>B</b> 03/1986 - 10/1986	E. F. HUTTON & COMPANY INC	235	

### 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
01/2021 - Present	ARENA FINANCIAL SERVICES, LLC	Managing Director, Business Development	Y	New York, NY, United States
02/2020 - 01/2021	PENSERRA SECURITIES LLC	ADVISER	Y	Red Bank, NJ, United States
08/2018 - 01/2020	UNEMPLOYED	UNEMPLOYED	N	BEDFORD, NY, United States
11/2016 - 07/2018	MetLife Asset Management Corp. (Japan)	Managing Director	Y	Tokyo, Japan
11/2016 - 07/2018	MetLife Group, Inc.	Managing Director	Y	Whippany, NJ, United States



## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
11/2016 - 07/2018	MetLife Investment Advisors, LLC	Managing Director	Y	Whippany, NJ, United States
11/2016 - 07/2018	MetLife Investments Securities, LLC	Senior Vice President, Principal	Y	Whippany, NJ, United States
03/2016 - 11/2016	Unemployed	Unemployed	N	Bedford, NY, United States
05/2005 - 03/2016	Russell Investments	Managing Director	Y	Seattle, WA, 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.

No information reported.

## End of Report



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