

BrokerCheck Report

DAVID MICHAEL SOLOMON

CRD# 1616414

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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.

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

DAVID M. SOLOMON

CRD# 1616414

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

- B** **GOLDMAN SACHS & CO. LLC**
200 WEST STREET
NEW YORK, NY 10282-2198
CRD# 361
Registered with this firm since: 09/20/1999

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:**

- 25 Self-Regulatory Organizations
- 1 U.S. state or territory

This broker has passed:

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

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

- B** **BEAR, STEARNS & CO. INC.**
CRD# 79
NEW YORK, NY
01/1991 - 09/1999
- B** **SALOMON BROTHERS INC.**
CRD# 740
NEW YORK, NY
04/1990 - 02/1991
- B** **DREXEL BURNHAM LAMBERT INCORPORATED**
CRD# 7323
03/1987 - 04/1990

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 25 SROs and is licensed in 1 U.S. state or territory through his or her employer.

Employment 1 of 1

Firm Name: **GOLDMAN SACHS & CO. LLC**

Main Office Address: **200 WEST STREET
NEW YORK, NY 10282-2198**

Firm CRD#: **361**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Principal	Approved	05/11/2012
B	BOX Exchange LLC	General Securities Representative	Approved	05/11/2012
B	BOX Exchange LLC	Securities Trader Principal	Approved	12/08/2021
B	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	06/05/2012
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	06/05/2012
B	Cboe BYX Exchange, Inc.	Securities Trader	Approved	02/10/2017
B	Cboe BYX Exchange, Inc.	Securities Trader Principal	Approved	02/10/2017
B	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	04/12/2012
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	04/12/2012
B	Cboe BZX Exchange, Inc.	Securities Trader	Approved	02/10/2017
B	Cboe BZX Exchange, Inc.	Securities Trader Principal	Approved	02/10/2017
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	03/23/2016
B	Cboe C2 Exchange, Inc.	Securities Trader	Approved	02/10/2017
B	Cboe C2 Exchange, Inc.	Securities Trader Principal	Approved	02/10/2017
B	Cboe C2 Exchange, Inc.	General Securities Principal	Approved	12/08/2021



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
B Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	04/12/2012
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	04/12/2012
B Cboe EDGA Exchange, Inc.	Securities Trader	Approved	02/10/2017
B Cboe EDGA Exchange, Inc.	Securities Trader Principal	Approved	02/10/2017
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	04/12/2012
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	04/12/2012
B Cboe EDGX Exchange, Inc.	Securities Trader	Approved	02/10/2017
B Cboe EDGX Exchange, Inc.	Securities Trader Principal	Approved	02/10/2017
B Cboe Exchange, Inc.	General Securities Representative	Approved	09/20/1999
B Cboe Exchange, Inc.	Securities Trader	Approved	02/10/2017
B Cboe Exchange, Inc.	Securities Trader Principal	Approved	02/10/2017
B Cboe Exchange, Inc.	General Securities Principal	Approved	12/08/2021
B FINRA	General Securities Principal	Approved	09/20/1999
B FINRA	General Securities Representative	Approved	09/20/1999
B FINRA	Investment Banking Representative	Approved	01/21/2010
B FINRA	Securities Trader	Approved	02/10/2017
B FINRA	Securities Trader Principal	Approved	02/10/2017
B FINRA	Investment Banking Principal	Approved	10/01/2018
B Investors' Exchange LLC	General Securities Principal	Approved	09/15/2016
B Investors' Exchange LLC	General Securities Representative	Approved	09/15/2016
B Investors' Exchange LLC	Securities Trader	Approved	02/10/2017
B Investors' Exchange LLC	Securities Trader Principal	Approved	02/10/2017



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
B Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	10/30/2020
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	10/30/2020
B Long-Term Stock Exchange, Inc.	Securities Trader	Approved	10/30/2020
B Long-Term Stock Exchange, Inc.	Securities Trader Principal	Approved	10/30/2020
B MEMX LLC	General Securities Principal	Approved	01/13/2021
B MEMX LLC	General Securities Representative	Approved	01/13/2021
B MEMX LLC	Securities Trader	Approved	01/13/2021
B MEMX LLC	Securities Trader Principal	Approved	01/13/2021
B MIAX Emerald, LLC	General Securities Principal	Approved	03/29/2019
B MIAX Emerald, LLC	General Securities Representative	Approved	03/29/2019
B MIAX Emerald, LLC	Securities Trader	Approved	03/29/2019
B MIAX Emerald, LLC	Securities Trader Principal	Approved	03/29/2019
B MIAX PEARL, LLC	General Securities Principal	Approved	05/09/2017
B MIAX PEARL, LLC	General Securities Representative	Approved	05/09/2017
B MIAX PEARL, LLC	Securities Trader	Approved	05/09/2017
B MIAX PEARL, LLC	Securities Trader Principal	Approved	05/09/2017
B Miami International Securities Exchange, LLC	General Securities Principal	Approved	03/23/2016
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	03/23/2016
B Miami International Securities Exchange, LLC	Securities Trader	Approved	02/10/2017
B Miami International Securities Exchange, LLC	Securities Trader Principal	Approved	02/10/2017



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
B NYSE American LLC	General Securities Representative	Approved	09/20/1999
B NYSE American LLC	General Securities Principal	Approved	11/24/2003
B NYSE American LLC	Securities Manager	Approved	06/26/2010
B NYSE American LLC	Securities Trader	Approved	02/10/2017
B NYSE American LLC	Securities Trader Principal	Approved	02/10/2017
B NYSE Arca, Inc.	General Securities Representative	Approved	09/20/1999
B NYSE Arca, Inc.	General Securities Principal	Approved	06/15/2007
B NYSE Arca, Inc.	Securities Trader	Approved	02/10/2017
B NYSE Arca, Inc.	Securities Trader Principal	Approved	02/10/2017
B NYSE Chicago, Inc.	General Securities Principal	Approved	03/23/2016
B NYSE Chicago, Inc.	General Securities Representative	Approved	03/23/2016
B NYSE Chicago, Inc.	Securities Trader	Approved	02/10/2017
B NYSE Chicago, Inc.	Securities Trader Principal	Approved	02/10/2017
B NYSE National, Inc.	General Securities Principal	Approved	08/21/2018
B NYSE National, Inc.	General Securities Representative	Approved	08/21/2018
B NYSE National, Inc.	Securities Trader	Approved	08/21/2018
B NYSE National, Inc.	Securities Trader Principal	Approved	08/21/2018
B Nasdaq BX, Inc.	General Securities Principal	Approved	01/16/2009
B Nasdaq BX, Inc.	General Securities Representative	Approved	01/16/2009
B Nasdaq BX, Inc.	Securities Trader	Approved	02/10/2017
B Nasdaq BX, Inc.	Securities Trader Principal	Approved	02/10/2017
B Nasdaq GEMX, LLC	General Securities Principal	Approved	09/09/2014



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
B Nasdaq GEMX, LLC	General Securities Representative	Approved	09/09/2014
B Nasdaq GEMX, LLC	Securities Trader	Approved	02/10/2017
B Nasdaq GEMX, LLC	Securities Trader Principal	Approved	02/10/2017
B Nasdaq ISE, LLC	General Securities Representative	Approved	01/09/2008
B Nasdaq ISE, LLC	General Securities Principal	Approved	04/12/2012
B Nasdaq ISE, LLC	Securities Trader	Approved	02/10/2017
B Nasdaq ISE, LLC	Securities Trader Principal	Approved	02/10/2017
B Nasdaq MRX, LLC	General Securities Principal	Approved	09/15/2016
B Nasdaq MRX, LLC	General Securities Representative	Approved	09/15/2016
B Nasdaq MRX, LLC	Securities Trader	Approved	02/10/2017
B Nasdaq MRX, LLC	Securities Trader Principal	Approved	02/10/2017
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/20/1999
B Nasdaq PHLX LLC	General Securities Principal	Approved	04/12/2012
B Nasdaq PHLX LLC	Securities Trader	Approved	02/10/2017
B Nasdaq PHLX LLC	Securities Trader Principal	Approved	02/10/2017
B Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B Nasdaq Stock Market	Securities Trader	Approved	02/10/2017
B Nasdaq Stock Market	Securities Trader Principal	Approved	02/10/2017
B New York Stock Exchange	General Securities Representative	Approved	09/20/1999
B New York Stock Exchange	Securities Manager	Approved	03/29/2010
B New York Stock Exchange	General Securities Principal	Approved	06/26/2010



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
B New York Stock Exchange	Securities Trader	Approved	02/10/2017
B New York Stock Exchange	Securities Trader Principal	Approved	02/10/2017

U.S. State/ Territory	Category	Status	Date
B New York	Agent	Approved	09/20/1999

Branch Office Locations

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



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 2 principal/supervisory exams, 3 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	01/02/2023
B General Securities Principal Examination	Series 24	11/30/1994

General Industry/Product Exams

Exam	Category	Date
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	03/21/1987

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	06/09/1987

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 01/1991 - 09/1999	BEAR, STEARNS & CO. INC.	79	NEW YORK, NY
B 04/1990 - 02/1991	SALOMON BROTHERS INC.	740	NEW YORK, NY
B 03/1987 - 04/1990	DREXEL BURNHAM LAMBERT INCORPORATED	7323	

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
01/2006 - Present	Goldman Sachs Group, LP	Managing Director	Y	New York, NY, 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) Part owner of Sherwood Forest, LLC, Sherwood Forest Inc. and Sherwood Robin, LLC, summer camp and real estate holding vehicles. Activity is not investment-related. Organization operates out of New Hampshire. Start date was April 1, 2012. Approximately two hours a year comprised of responding to ideas/questions arising from the management of the organization.
- (2) Owner of D-Sol LLC, a music recording and performing organization. Activity is not investment-related. Organization operates out of New York, NY. Start date was June 1, 2018. Approximately four hours per year. Representative may receive royalties from online downloads of music, streaming services, and performances.
- (3) Passive Advisory Board Observer (no voting rights) for Discovery Land Co. LLC, a real estate development organization. Activity is not primarily investment-related. Organization operates out of Scottsdale, AZ. Start date was September 25, 2021. Approximately eight hours per year comprised of observing advisory board meetings.

End of Report



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