

## BrokerCheck Report

**David W Lewis**

CRD# 2172302

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 8
Registration and Employment History	10 - 11



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 W. Lewis**

CRD# 2172302

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

**IA CITIZENS SECURITIES, INC.**  
 134 PLEASANT STREET  
 MS: NH447  
 PORTSMOUTH, NH 03801  
 CRD# 39550  
 Registered with this firm since: 07/28/2025

**B CITIZENS SECURITIES, INC.**  
 134 PLEASANT STREET  
 MS: NH447  
 PORTSMOUTH, NH 03801  
 CRD# 39550  
 Registered with this firm since: 07/28/2025

## 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:**

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

**This broker has passed:**

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

### Registration History

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

- IA EDWARD JONES**  
 CRD# 250  
 ST. LOUIS, MO  
 09/2021 - 07/2025
- B EDWARD JONES**  
 CRD# 250  
 BAR HARBOR, ME  
 09/2021 - 07/2025
- IA LPL FINANCIAL LLC**  
 CRD# 6413  
 FORT MILL, SC  
 08/2020 - 09/2021

### 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 1

Firm Name: **CITIZENS SECURITIES, INC.**

Main Office Address: **ONE CITIZENS BANK WAY  
JCB135  
JOHNSTON, RI 02919**

Firm CRD#: **39550**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	07/28/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	07/28/2025

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	07/28/2025
IA	Alabama	Investment Adviser Representative	Approved	07/28/2025
B	Alaska	Agent	Approved	07/28/2025
IA	Alaska	Investment Adviser Representative	Approved	08/04/2025
B	Arizona	Agent	Approved	07/28/2025
IA	Arizona	Investment Adviser Representative	Approved	07/31/2025
B	Arkansas	Agent	Approved	07/28/2025
IA	Arkansas	Investment Adviser Representative	Approved	08/04/2025
B	California	Agent	Approved	07/28/2025
IA	California	Investment Adviser Representative	Approved	07/29/2025
B	Colorado	Agent	Approved	07/28/2025

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	07/30/2025
B	Connecticut	Agent	Approved	07/28/2025
IA	Connecticut	Investment Adviser Representative	Approved	07/28/2025
B	Delaware	Agent	Approved	07/28/2025
IA	Delaware	Investment Adviser Representative	Approved	07/30/2025
B	District of Columbia	Agent	Approved	07/28/2025
IA	District of Columbia	Investment Adviser Representative	Approved	08/25/2025
B	Florida	Agent	Approved	07/28/2025
IA	Florida	Investment Adviser Representative	Approved	07/29/2025
B	Georgia	Agent	Approved	07/28/2025
IA	Georgia	Investment Adviser Representative	Approved	07/29/2025
B	Hawaii	Agent	Approved	07/28/2025
IA	Hawaii	Investment Adviser Representative	Approved	07/29/2025
B	Idaho	Agent	Approved	07/28/2025
IA	Idaho	Investment Adviser Representative	Approved	08/04/2025
B	Illinois	Agent	Approved	07/28/2025
IA	Illinois	Investment Adviser Representative	Approved	07/30/2025
B	Indiana	Agent	Approved	07/28/2025
IA	Indiana	Investment Adviser Representative	Approved	07/28/2025
B	Iowa	Agent	Approved	07/28/2025
IA	Iowa	Investment Adviser Representative	Approved	07/29/2025

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Kansas	Agent	Approved	07/28/2025
IA	Kansas	Investment Adviser Representative	Approved	07/29/2025
B	Kentucky	Agent	Approved	07/28/2025
IA	Kentucky	Investment Adviser Representative	Approved	07/29/2025
B	Louisiana	Agent	Approved	07/28/2025
IA	Louisiana	Investment Adviser Representative	Approved	07/28/2025
B	Maine	Agent	Approved	07/28/2025
IA	Maine	Investment Adviser Representative	Approved	07/28/2025
B	Maryland	Agent	Approved	07/28/2025
IA	Maryland	Investment Adviser Representative	Approved	07/29/2025
B	Massachusetts	Agent	Approved	07/28/2025
B	Michigan	Agent	Approved	07/28/2025
IA	Michigan	Investment Adviser Representative	Approved	07/30/2025
B	Minnesota	Agent	Approved	07/28/2025
IA	Minnesota	Investment Adviser Representative	Approved	07/29/2025
B	Mississippi	Agent	Approved	07/28/2025
IA	Mississippi	Investment Adviser Representative	Approved	07/30/2025
B	Missouri	Agent	Approved	07/28/2025
IA	Missouri	Investment Adviser Representative	Approved	07/28/2025
B	Montana	Agent	Approved	07/28/2025
IA	Montana	Investment Adviser Representative	Approved	08/05/2025

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nebraska	Agent	Approved	07/28/2025
IA	Nebraska	Investment Adviser Representative	Approved	07/30/2025
B	Nevada	Agent	Approved	07/28/2025
IA	Nevada	Investment Adviser Representative	Approved	07/30/2025
B	New Hampshire	Agent	Approved	07/28/2025
IA	New Hampshire	Investment Adviser Representative	Approved	07/29/2025
B	New Jersey	Agent	Approved	07/28/2025
IA	New Jersey	Investment Adviser Representative	Approved	07/28/2025
B	New Mexico	Agent	Approved	07/28/2025
IA	New Mexico	Investment Adviser Representative	Approved	07/30/2025
B	New York	Agent	Approved	07/28/2025
IA	New York	Investment Adviser Representative	Approved	07/30/2025
B	North Carolina	Agent	Approved	07/28/2025
IA	North Carolina	Investment Adviser Representative	Approved	08/04/2025
B	North Dakota	Agent	Approved	07/28/2025
IA	North Dakota	Investment Adviser Representative	Approved	07/30/2025
IA	Ohio	Investment Adviser Representative	Approved	07/28/2025
B	Ohio	Agent	Approved	07/29/2025
B	Oklahoma	Agent	Approved	07/28/2025
IA	Oklahoma	Investment Adviser Representative	Approved	07/29/2025
B	Oregon	Agent	Approved	07/28/2025

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Oregon	Investment Adviser Representative	Approved	07/28/2025
B	Pennsylvania	Agent	Approved	07/28/2025
IA	Pennsylvania	Investment Adviser Representative	Approved	07/29/2025
B	Puerto Rico	Agent	Approved	07/28/2025
IA	Puerto Rico	Investment Adviser Representative	Approved	08/22/2025
B	Rhode Island	Agent	Approved	07/28/2025
IA	Rhode Island	Investment Adviser Representative	Approved	07/30/2025
B	South Carolina	Agent	Approved	07/28/2025
IA	South Carolina	Investment Adviser Representative	Approved	07/30/2025
B	South Dakota	Agent	Approved	07/28/2025
IA	South Dakota	Investment Adviser Representative	Approved	07/31/2025
B	Tennessee	Agent	Approved	07/28/2025
B	Texas	Agent	Approved	07/28/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	07/28/2025
B	Utah	Agent	Approved	07/28/2025
IA	Utah	Investment Adviser Representative	Approved	07/29/2025
B	Vermont	Agent	Approved	07/28/2025
IA	Vermont	Investment Adviser Representative	Approved	07/28/2025
B	Virginia	Agent	Approved	07/28/2025
IA	Virginia	Investment Adviser Representative	Approved	07/29/2025
B	Washington	Agent	Approved	07/28/2025



## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Washington	Investment Adviser Representative	Approved	07/30/2025
B	West Virginia	Agent	Approved	07/28/2025
IA	West Virginia	Investment Adviser Representative	Approved	07/31/2025
B	Wisconsin	Agent	Approved	07/28/2025
IA	Wisconsin	Investment Adviser Representative	Approved	08/05/2025
B	Wyoming	Agent	Approved	07/28/2025
IA	Wyoming	Investment Adviser Representative	Approved	07/31/2025

### Branch Office Locations

**CITIZENS SECURITIES, INC.**  
134 PLEASANT STREET  
MS: NH447  
PORTSMOUTH, NH 03801

---



## 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, 4 general industry/product exams, and 3 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	01/18/1995

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> General Securities Representative Examination	Series 7TO	10/02/2021
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6TO	05/30/2020
<b>B</b> Securities Industry Essentials Examination	SIE	03/09/2020
<b>B</b> General Securities Representative Examination	Series 7	10/24/1991

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	07/31/2020
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	06/13/2020
<b>B IA</b> Uniform Combined State Law Examination	Series 66	07/13/2012

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> 09/2021 - 07/2025	EDWARD JONES	250	BAR HARBOR, ME
<b>IA</b> 09/2021 - 07/2025	EDWARD JONES	250	BAR HARBOR, ME
<b>IA</b> 08/2020 - 09/2021	LPL FINANCIAL LLC	6413	BAR HARBOR, ME
<b>B</b> 05/2020 - 09/2021	LPL FINANCIAL LLC	6413	BAR HARBOR, ME
<b>IA</b> 07/2012 - 02/2014	AMERIVEST INVESTMENT MANAGEMENT, LLC	111514	RESTON, VA
<b>IA</b> 07/2012 - 02/2014	TD AMERITRADE, INC.	7870	RESTON, VA
<b>B</b> 04/2012 - 02/2014	TD AMERITRADE, INC.	7870	RESTON, VA
<b>B</b> 07/2011 - 04/2012	LPL FINANCIAL LLC	6413	ASHBURN, VA
<b>IA</b> 07/2009 - 06/2011	MORGAN STANLEY SMITH BARNEY LLC	149777	VIENNA, VA
<b>B</b> 06/2009 - 06/2011	MORGAN STANLEY SMITH BARNEY	149777	VIENNA, VA
<b>B</b> 09/2008 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	VIENNA, VA
<b>B</b> 09/2003 - 10/2008	CITIGROUP GLOBAL MARKETS INC.	7059	MCLEAN, VA
<b>B</b> 12/1992 - 09/2001	TD WATERHOUSE INVESTOR SERVICES, INC.	7870	OMAHA, NE
<b>B</b> 10/1991 - 03/1992	HIBBARD BROWN & CO., INC.	18246	NEW YORK, 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
07/2025 - Present	Citizens Securities, Inc.	Virtual Financial Advisor	Y	Portsmouth, NH, United States



## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position Advisor	Investment Related	Employer Location States
09/2021 - 07/2025	Edward Jones	Financial Advisor	Y	St. Louis, MO, United States
05/2020 - 08/2021	LPL Financial LLC	Registered Representative	Y	Bar Harbor, ME, United States
01/2018 - 08/2021	Camden National Bank	Branch Manager	N	Bar Harbor, ME, United States
09/2017 - 01/2018	MDI Hospital	registration/major gifts officer	N	Bar Harbor, ME, United States
06/2015 - 09/2017	Claremonet Hotel/Cafe 2	Bartender	N	Southwest Harbor, ME, 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.

William Searls Foundation- Trustee

Non-Profit

Responsibilities: Supply scholarship funds to local students

Date of Initial Involvement: 01/01/2024

Approx. amount of time/month: 2 hours

## End of Report



**This page is intentionally left blank.**