

BrokerCheck Report

DAVID MICHAEL MCCUBBINS

CRD# 2742481

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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



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.

**DAVID M. MCCUBBINS**

CRD# 2742481

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

- B NEWEDGE SECURITIES, LLC**
 10777 SUNSET HILLS OFFICE DRIVE
 SUITE 315B
 ST. LOUIS, MO 63127
 CRD# 10674
 Registered with this firm since: 05/01/2012

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:**

- 2 Self-Regulatory Organizations
- 4 U.S. states and territories

This broker has passed:

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

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

- B SUNGARD BROKERAGE & SECURITIES SERVICES, LLC**
 CRD# 104162
 GENEVA, IL
 10/2011 - 02/2012
- B SUNGARD INSTITUTIONAL BROKERAGE INC.**
 CRD# 8509
 ST. LOUIS, MO
 05/2008 - 09/2011
- B SCOTTRADE, INC.**
 CRD# 8206
 ST. LOUIS, MO
 04/2008 - 05/2008

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 2 SROs and is licensed in 4 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **NEWEDGE SECURITIES, LLC**

Main Office Address: **1251 WATERFRONT PLACE
SUITE 510
PITTSBURGH, PA 15222-6368**

Firm CRD#: **10674**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	05/01/2012
B	FINRA	General Securities Principal	Approved	07/30/2012
B	FINRA	Securities Trader	Approved	01/04/2016
B	FINRA	Securities Trader Principal	Approved	02/05/2016
B	FINRA	Compliance Officer	Approved	10/23/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	05/01/2012
B	Nasdaq Stock Market	General Securities Principal	Approved	07/30/2012
B	Nasdaq Stock Market	Securities Trader	Approved	01/04/2016
B	Nasdaq Stock Market	Securities Trader Principal	Approved	02/05/2016

	U.S. State/ Territory	Category	Status	Date
B	Georgia	Agent	Approved	02/18/2015
B	Missouri	Agent	Approved	05/01/2012
B	New Hampshire	Agent	Approved	08/13/2015
B	Ohio	Agent	Approved	03/17/2015

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

NEWEDGE SECURITIES, LLC
10777 SUNSET HILLS OFFICE DRIVE
SUITE 315B
ST. LOUIS, MO 63127



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 2 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Compliance Officer Examination	Series 14	01/02/2023
B General Securities Principal Examination	Series 24	07/27/2012

General Industry/Product Exams

Exam	Category	Date
B Securities Trader Exam	Series 57TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Limited Representative-Equity Trader Exam	Series 55	07/07/1999
B Futures Managed Funds Examination	Series 31	01/19/1999
B General Securities Representative Examination	Series 7	12/29/1998

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	01/15/1999
B Uniform Securities Agent State Law Examination	Series 63	01/05/1999

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 10/2011 - 02/2012	SUNGARD BROKERAGE & SECURITIES SERVICES, LLC	104162	GENEVA, IL
B 05/2008 - 09/2011	SUNGARD INSTITUTIONAL BROKERAGE INC.	8509	ST. LOUIS, MO
B 04/2008 - 05/2008	SCOTTRADE, INC.	8206	ST. LOUIS, MO
B 08/2007 - 11/2007	LINSCO/PRIVATE LEDGER CORP.	6413	SUNSET HILLS, MO
B 07/2000 - 05/2006	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	ST. LOUIS, MO
B 02/2000 - 08/2000	EDWARD JONES	250	ST. LOUIS, MO
B 06/1999 - 01/2000	HUNTLEIGH SECURITIES CORPORATION	7456	ST. LOUIS, MO
B 01/1999 - 05/1999	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, 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
05/2012 - Present	MID ATLANTIC CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	ST. LOUIS, MO, United States
04/2012 - Present	INSTITUTIONAL TRADING SERVICES, LLC	SALES TRADER	Y	ST. LOUIS, MO, 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.



Registration and Employment History

Other Business Activities, continued

1)ST. LOUIS CARDINALS~NON INVESTMENT RELATED~700 CLARK STREET, ST. LOUIS, MO 63104~MAJOR LEAGUE
BASEBALL~SCOREBOARD OPERATOR~AUG 2009~15HRS PER MONTH~0HRS PER MONTH DURING MARKET~SCOREBOARD
OPERATIONS -----

2)MISSOURI STATE HIGH SCHOOL ACTIVITIES ASSOCIATION~NON INVESTMENT RELATED~1 N. KEENE STREET, COLUMBIA, MO
65201~MISSOURI HIGH SCHOOL SPORTS ORGANIZATION~REFEREE~SEPTEMBER 2017~15HRS PER MONTH~0HRS PER MONTH
DURING MARKET~REFERRING HIGH SCHOOL BASKETBALL

3.DAM Real Estate LLC*No Invest*St. Louis, MO *My wife and I purchased an investment property to rent.*12/1/2024*Owner*Manage the
property*0 Hrs trade/5 non tradel own the property with my wife. Any profit or loss is ours.

End of Report



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