

BrokerCheck Report

DAVID PILLORI

CRD# 4024719

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8



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 PILLORI**

CRD# 4024719

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

- IA STRATEGIC ADVISERS LLC**
 150 ESSEX ST
 MILLBURN, NJ 07041
 CRD# 104555
 Registered with this firm since: 03/31/2025
- B FIDELITY BROKERAGE SERVICES LLC**
 150 ESSEX STREET
 MILLBURN, NJ 07041
 CRD# 7784
 Registered with this firm since: 08/08/2012

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
- 29 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA FIDELITY PERSONAL AND WORKPLACE ADVISORS**
 CRD# 288590
 BOSTON, MA
 07/2018 - 03/2025
- IA STRATEGIC ADVISERS LLC**
 CRD# 104555
 BOSTON, MA
 08/2013 - 07/2018
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 NEW YORK, NY
 10/2010 - 08/2011

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

Employment 1 of 2

Firm Name: **FIDELITY BROKERAGE SERVICES LLC**

Main Office Address: **900 SALEM STREET
SMITHFIELD, RI 02917**

Firm CRD#: **7784**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	08/08/2012
B	FINRA	General Securities Representative	Approved	08/08/2012
B	New York Stock Exchange	General Securities Principal	Approved	08/08/2012
B	New York Stock Exchange	General Securities Representative	Approved	08/08/2012

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	03/01/2024
B	California	Agent	Approved	05/12/2015
B	Colorado	Agent	Approved	02/17/2016
B	Connecticut	Agent	Approved	08/08/2012
B	Delaware	Agent	Approved	08/08/2012
B	District of Columbia	Agent	Approved	01/06/2023
B	Florida	Agent	Approved	08/08/2012
B	Georgia	Agent	Approved	09/25/2019
B	Illinois	Agent	Approved	09/25/2019

Broker Qualifications



Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Maine	Agent	Approved	09/25/2019
B	Maryland	Agent	Approved	04/17/2023
B	Massachusetts	Agent	Approved	08/15/2017
B	Michigan	Agent	Approved	07/28/2023
B	Missouri	Agent	Approved	05/19/2023
B	Montana	Agent	Approved	07/12/2023
B	Nebraska	Agent	Approved	11/17/2020
B	Nevada	Agent	Approved	06/27/2023
B	New Hampshire	Agent	Approved	10/23/2018
B	New Jersey	Agent	Approved	08/08/2012
B	New York	Agent	Approved	08/08/2012
B	North Carolina	Agent	Approved	10/02/2013
B	Ohio	Agent	Approved	01/06/2025
B	Pennsylvania	Agent	Approved	08/08/2012
B	Rhode Island	Agent	Approved	03/25/2023
B	South Carolina	Agent	Approved	02/17/2016
B	Tennessee	Agent	Approved	02/11/2015
B	Texas	Agent	Approved	08/15/2017
B	Vermont	Agent	Approved	06/19/2024
B	Virginia	Agent	Approved	07/08/2022



Broker Qualifications

Employment 1 of 2, continued

Branch Office Locations

FIDELITY BROKERAGE SERVICES LLC
150 ESSEX STREET
MILLBURN, NJ 07041

Employment 2 of 2

Firm Name: STRATEGIC ADVISERS LLC
Main Office Address: 155 SEAPORT BLVD
BOSTON, MA 02210-2698
Firm CRD#: 104555

	U.S. State/ Territory	Category	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	03/31/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	03/31/2025

Branch Office Locations

150 ESSEX ST
MILLBURN, NJ 07041-1631

WYCKOFF, NJ



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	05/05/2004

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	05/30/2000

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	03/06/2009
B Uniform Securities Agent State Law Examination	Series 63	11/21/2000

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 07/2018 - 03/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	MILLBURN, NJ
IA 08/2013 - 07/2018	STRATEGIC ADVISERS LLC	104555	MILLBURN, NJ
B 10/2010 - 08/2011	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
IA 10/2010 - 08/2011	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	JERSEY CITY, NJ
IA 03/2009 - 08/2010	ALEXANDRA & JAMES ADVISORY SERVICES, LLC	146332	NEW YORK, NY
B 03/2008 - 04/2010	LEBENTHAL & CO., LLC	145750	NEW YORK, NY
B 06/2007 - 03/2008	ALEXANDRA & JAMES CO.	106032	NEW YORK, NY
B 08/2004 - 06/2007	PERSHING LLC	7560	JERSEY CITY, NJ
B 03/2002 - 07/2004	ABN AMRO INCORPORATED	15776	STAMFORD, CT
B 05/2000 - 03/2002	ABN AMRO SECURITIES LLC	6540	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
03/2025 - Present	Fidelity Investments	Mass Transfer	Y	BOSTON, MA, United States
07/2018 - Present	FIDELITY PERSONAL AND WORKPLACE ADVISORS	Mass Transfer	Y	BOSTON, MA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
07/2012 - Present	FIDELITY BROKERAGE SERVICES LLC	INVESTOR CENTER INVESTMENTS REPRESENTATIVE	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.

No information reported.

End of Report



This page is intentionally left blank.