

## BrokerCheck Report

**DAVID WINSTON TRAYLOR**

CRD# 4956101

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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.

**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. TRAYLOR**

CRD# 4956101

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

**B COLORADO FINANCIAL SERVICE CORPORATION**  
CENTENNIAL, CO 80112  
CRD# 104343  
Registered with this firm since: 09/28/2015

**IA COLORADO FINANCIAL SERVICE CORPORATION**  
lakewood, CO 80228  
CRD# 104343  
Registered with this firm since: 04/24/2017

**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
- 13 U.S. states and territories

**This broker has passed:**

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

**Registration History**

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

- B COLORADO FINANCIAL SERVICE CORPORATION**  
CRD# 104343  
CENTENNIAL, CO  
11/2012 - 12/2014
- B HEADWATERS BD, LLC**  
CRD# 117042  
DENVER, CO  
03/2010 - 11/2012
- B CARIS & COMPANY, INC.**  
CRD# 104235  
SAN DIEGO, CA  
10/2007 - 02/2010

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

### Employment 1 of 1

Firm Name: **COLORADO FINANCIAL SERVICE CORPORATION**

Main Office Address: **188 INVERNESS DRIVE WEST  
SUITE 100  
CENTENNIAL, CO 80112**

Firm CRD#: **104343**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	09/28/2015
B	FINRA	Investment Banking Representative	Approved	09/28/2015

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	09/28/2015
B	Colorado	Agent	Approved	09/28/2015
IA	Colorado	Investment Adviser Representative	Approved	04/24/2017
B	Connecticut	Agent	Approved	06/08/2016
B	Florida	Agent	Approved	06/08/2016
B	Illinois	Agent	Approved	12/06/2017
B	Massachusetts	Agent	Approved	06/08/2016
B	Nevada	Agent	Approved	06/08/2016
B	New Jersey	Agent	Approved	06/08/2016
B	New York	Agent	Approved	09/28/2015
B	Oregon	Agent	Approved	01/31/2018

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Puerto Rico	Agent	Approved	06/08/2016
B	Texas	Agent	Approved	06/08/2016
B	Washington	Agent	Approved	01/31/2018

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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	08/18/2005

### State Securities Law Exams

Exam	Category	Date
<b>B</b> <b>IA</b> Uniform Combined State Law Examination	Series 66	04/10/2017
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	06/14/2013

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> 11/2012 - 12/2014	COLORADO FINANCIAL SERVICE CORPORATION	104343	CENTENNIAL, CO
<b>B</b> 03/2010 - 11/2012	HEADWATERS BD, LLC	117042	DENVER, CO
<b>B</b> 10/2007 - 02/2010	CARIS & COMPANY, INC.	104235	SAN DIEGO, CA
<b>B</b> 08/2005 - 06/2007	PACIFIC GROWTH EQUITIES, LLC	24835	SAN FRANCISCO, CA

### 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
09/2015 - Present	COLORADO FINANCIAL SERVICE CORPORATION	INVESTMENT BANKER	Y	CENTENNIAL, CO, United States
11/2012 - Present	GOLDEN EAGLE	MANAGING DIRECTOR	Y	LAKEWOOD, CO, United States
12/2014 - 09/2015	SURNA	CFO	N	BOULDER, CO, United States
11/2012 - 12/2014	COLORADO FINANCIAL SERVICE CORPORATION	REGISTERED REPRESENTATIVE	Y	CENTENNIAL, CO, 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) GOLDEN EAGLE PARTNERS; GEP, LLC. / INVESTMENT RELATED / 13771 W AMHERST WAY LAKEWOOD CO 80228 / OWNER 2) TRAYLOR AERODYNAMIC SYSTEMS / NON-INVESTMENT RELATED / 13771 W AMHERST WAY LAKEWOOD, CO 80228 / PATENT DESIGNER / CEO & FOUNDER / 0 HOURS PER MONTH / 0 HOURS DURING TRADING HOURS 3) MEDCANNA CAPITAL PLC / NON-INVESTMENT RELATED, 13771 W. AMHERST WAY, LAKEWOOD, CO 80228 / ADVISORY BOARD MEMBER / HELP ADVOCATE CANNIBIS



## Registration and Employment History



### Other Business Activities, continued

BUSINESS TO ACQUIRE 4) ATHLETES FOR CARE, NON-INVESTMENT RELATED, 4446 HERCULES AVE. #404, JACKSONVILLE, FL 32207, CHAIRMAN OF SCIENTIFIC ADVISORY COUNSEL, VOLUNTEER-CHAIRMAN, 1 HOUR/MONTH, START DATE OCT 2021 5) WINTER PARK RESORT / NON-INVESTMENT RELATED / 85 PARSENN RD, WINTER PARK, CO 80482 / SKI COACH / 8 HOURS PER WEEK (DEC-MAR) / 0 HOURS DURING TRADING HOURS 6) COLORADO LACROSSE HALL OF FAME / NON-INVESTMENT RELATED / 13771 W AMHERST WAY, LAKEWOOD, CO 80228 / HEAD OF ORGANIZATION / 5 HOURS PER MONTH / 0 HOURS DURING TRADING HOURS 7) UNIVERSITY OF COLORADO LACROSSE CLUB / NON-INVESTMENT RELATED / REGENT DRIVE, BOULDER, CO 80201 / VOLUNTEER / 3 HOURS PER MONTH / 0 HOURS DURING TRADING HOURS

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## End of Report



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