BrokerCheck Report

DAVID A ROBBINS

CRD# 5673670

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 A. ROBBINS

CRD# 5673670

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

IA **MOORS & CABOT, INC**
645 East Missouri Avenue
SUITE 170
PHOENIX, AZ 85012
CRD# 594
Registered with this firm since: 06/03/2019

B **MOORS & CABOT, INC.**
645 East Missouri Avenue
SUITE 170
PHOENIX, AZ 85012
CRD# 594
Registered with this firm since: 06/03/2019

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:

- 5 Self-Regulatory Organizations
- 39 U.S. states and territories

This broker has passed:

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

Registration History

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

IA **J.P. MORGAN SECURITIES LLC**
CRD# 79
NEW YORK, NY
10/2012 - 06/2019

B **J.P. MORGAN SECURITIES LLC**
CRD# 79
SCOTTSDALE, AZ
10/2012 - 06/2019

IA **CHASE INVESTMENT SERVICES CORP.**
CRD# 25574
NEW YORK, NY
05/2010 - 10/2012

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 5 SROs and is licensed in 39 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **MOORS & CABOT, INC.**

Main Office Address: **ONE FEDERAL STREET**
19TH FLOOR
BOSTON, MA 02110

Firm CRD#: **594**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	06/03/2019
B	FINRA	General Securities Principal	Approved	07/23/2020
B	NYSE American LLC	General Securities Representative	Approved	06/03/2019
B	NYSE American LLC	General Securities Principal	Approved	07/23/2020
B	NYSE Arca, Inc.	General Securities Representative	Approved	06/03/2019
B	NYSE Arca, Inc.	General Securities Principal	Approved	07/23/2020
B	Nasdaq Stock Market	General Securities Representative	Approved	06/03/2019
B	Nasdaq Stock Market	General Securities Principal	Approved	07/23/2020
B	New York Stock Exchange	General Securities Representative	Approved	06/03/2019
B	New York Stock Exchange	General Securities Principal	Approved	07/23/2020

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	11/21/2022
B	Arizona	Agent	Approved	06/03/2019
B	California	Agent	Approved	06/03/2019

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	06/03/2019
B	Connecticut	Agent	Approved	01/13/2021
B	Florida	Agent	Approved	06/03/2019
B	Georgia	Agent	Approved	03/03/2025
B	Hawaii	Agent	Approved	04/13/2023
B	Idaho	Agent	Approved	01/13/2021
B	Illinois	Agent	Approved	06/03/2019
B	Indiana	Agent	Approved	03/03/2025
B	Iowa	Agent	Approved	01/14/2021
B	Louisiana	Agent	Approved	10/25/2024
B	Maine	Agent	Approved	10/29/2019
B	Maryland	Agent	Approved	01/13/2021
B	Massachusetts	Agent	Approved	06/03/2019
B	Michigan	Agent	Approved	06/03/2019
B	Minnesota	Agent	Approved	06/03/2019
B	Mississippi	Agent	Approved	11/21/2022
B	Missouri	Agent	Approved	01/13/2021
B	Montana	Agent	Approved	01/18/2022
B	Nebraska	Agent	Approved	01/13/2021
B	Nevada	Agent	Approved	04/13/2020
B	New Jersey	Agent	Approved	06/03/2019

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Mexico	Agent	Approved	01/13/2021
B	New York	Agent	Approved	01/05/2024
B	North Carolina	Agent	Approved	05/12/2020
B	Ohio	Agent	Approved	11/21/2022
B	Oklahoma	Agent	Approved	01/13/2021
B	Oregon	Agent	Approved	11/21/2022
B	Pennsylvania	Agent	Approved	06/03/2019
B	South Carolina	Agent	Approved	11/21/2022
B	Tennessee	Agent	Approved	01/30/2024
B	Texas	Agent	Approved	06/03/2019
IA	Texas	Investment Adviser Representative	Approved	06/03/2019
B	Utah	Agent	Approved	06/03/2019
B	Virginia	Agent	Approved	11/21/2022
B	Washington	Agent	Approved	09/20/2021
B	Wisconsin	Agent	Approved	01/13/2021
B	Wyoming	Agent	Approved	11/21/2022

Branch Office Locations

MOORS & CABOT, INC.
645 East Missouri Avenue
SUITE 170
PHOENIX, AZ 85012

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 1 state securities law exam.

Principal/Supervisory Exams

Exam		Category	Date
B	General Securities Principal Examination	Series 24	07/23/2020

General Industry/Product Exams

Exam		Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	09/03/2009

State Securities Law Exams

Exam		Category	Date
B IA	Uniform Combined State Law Examination	Series 66	10/01/2009

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
B	10/2012 - 06/2019	J.P. MORGAN SECURITIES LLC	79	SCOTTSDALE, AZ
IA	10/2012 - 06/2019	J.P. MORGAN SECURITIES LLC	79	SCOTTSDALE, AZ
IA	05/2010 - 10/2012	CHASE INVESTMENT SERVICES CORP.	25574	PHOENIX, AZ
B	04/2010 - 10/2012	CHASE INVESTMENT SERVICES CORP.	25574	PHOENIX, AZ
IA	11/2009 - 03/2010	WADDELL & REED, INC.	866	TUCSON, AZ
B	09/2009 - 03/2010	WADDELL & REED, INC.	866	TUCSON, AZ

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
06/2019 - Present	Moors & Cabot Inc	Vice president	Y	phoenix, AZ, United States
10/2012 - 06/2019	J.P. MORGAN SECURITIES LLC	Mass Transfer	Y	PHOENIX, AZ, United States
04/2010 - 06/2019	JPMORGAN CHASE NA	PERSONAL BANKER	Y	TUCSON, AZ, United States
07/2014 - 07/2018	SELF EMPLOYED	PHOTOGRAPHER	N	PHOENIX, AZ, 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.

ACTIVITY TYPE: 1 - OUTSIDE BUSINESS ACTIVITY WITH A NON-PUBLIC ENTITY
NAME OF ENTITY: (SELF)
POSITION: CONTENT VENDOR / FREELANCE WRITER
START DATE: 7/21/2014
ADDRESS: 839 Phoenix, Arizona

Registration and Employment History

Other Business Activities, continued

DETAILS: THE FREELANCE PRODUCING OF CONTENT FOR PRINT AND ELECTRONIC PUBLICATION, AS WELL AS DIRECT TO CONSUMER SALES. THIS CONTENT INCLUDES TEXT BASED MULTIMEDIA INCLUDING INCLUDING FICTION, NON-FICTION, JOURNALISTIC REPORTING AND/OR POETRY; VISUAL CONTENT INCLUDING BOTH DIGITAL AND FILM IMAGES, ANIMATIONS, ILLUSTRATIONS, GRAPHIC DESIGN AND INTERACTIVE CONTENT; AUDIO PRODUCTIONS INCLUDING SPOKEN WORD, VOCAL OR MUSICAL RECORDINGS AND INCLUDING JOURNALISTIC AUDIO INCLUDING PODCASTS OR REPORTING; VIDEO SUPPORT OR PRODUCTION GENERALLY DESIGNED TO ACCOMPANY SOME OTHER TYPE OF PREVIOUSLY MENTIONED CONTENT (INCLUDING PHOTOGRAPHY OR JOURNALISM). MAy include providing commentary and anlysis on matters related to financial planning though original articles and/or publications or printed/digital advertisements.

HOURS DEDICATED (5 hours per week total, 1 hour during normal firm hours):
HOURS DURING TRADING: 0
INVESTMENT RELATED: Yes

ACTIVITY TYPE: 2 - OUTSIDE BUSINESS ACTIVITY
www.advicebydavid.com / 839 E. Desert Park Lane, Phoenix, Arizona 85020
Sole proprietorship, Website

www.advicebydavid.com is a marketing website owned by David Robbins as a sole proprietor. It is operated by David Robbins and Moors & Cabot, Inc. Advicebydavid.com is used exclusively to offer the
products and services of Moors & Cabot, Inc.

ACTIVITY TYPE 3: FINRA Dispute Resolution-Industry Arbitrator as of 2023, volunteer, less than 1 hour per week as applicable, honorarium paid if selected on case.

ACTIVITY TYPE 4: Co-Owner of business through family trust; Paper Street Ventures, LLC; Provides B2B referrals for admin services, 0 hours during trading hours, receives compensation

End of Report

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