IAPD Report

ROBERT DAVID COHEN

CRD# 1162192

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.

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

ROBERT DAVID COHEN (CRD# 1162192)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **07/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	10/05/2018
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	10/05/2018

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **27** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	UBS FINANCIAL SERVICES INC.	8174	GARDEN CITY, NY	09/18/2009 - 10/04/2018
B	UBS FINANCIAL SERVICES INC.	8174	GARDEN CITY, NY	12/12/2008 - 10/04/2018
B	MORGAN STANLEY & CO. INCORPORATED	8209	JERICHO, NY	04/02/2007 - 12/15/2008

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1
Termination	1

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **27** jurisdiction(s) and 11 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **STIFEL, NICOLAUS & COMPANY, INCORPORATED**

Main Address: 501 N BROADWAY
ST LOUIS, MO 63102

Firm ID#: 793

	Regulator	Registration	Status	Date
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	10/05/2018
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	07/02/2026
B	Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	07/02/2026
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	07/02/2026
B	Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	07/02/2026
B	FINRA	General Securities Representative	Approved	10/05/2018
B	FINRA	General Securities Sales Supervisor	Approved	10/05/2018
B	Investors' Exchange LLC	General Securities Representative	Approved	07/02/2026
B	NYSE American LLC	General Securities Representative	Approved	10/05/2018
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/05/2018
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/02/2026
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	07/02/2026
B	Nasdaq ISE, LLC	General Securities Representative	Approved	07/02/2026

Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	07/02/2026
B	Nasdaq PHLX LLC	General Securities Representative	Approved	10/05/2018
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	10/05/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	10/05/2018
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	10/05/2018
B	New York Stock Exchange	General Securities Representative	Approved	10/05/2018
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/05/2018
B	Alabama	Agent	Approved	09/03/2019
B	Arizona	Agent	Approved	10/05/2018
B	California	Agent	Approved	10/05/2018
B	Colorado	Agent	Approved	10/05/2018
B	Connecticut	Agent	Approved	10/05/2018
B	Delaware	Agent	Approved	02/11/2019
B	Florida	Agent	Approved	10/05/2018
B	Georgia	Agent	Approved	10/08/2021
B	Idaho	Agent	Approved	03/26/2021
B	Illinois	Agent	Approved	02/01/2019
B	Maryland	Agent	Approved	10/05/2018
B	Massachusetts	Agent	Approved	10/10/2018

Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	10/05/2018
B	Missouri	Agent	Approved	06/03/2022
B	Nevada	Agent	Approved	10/05/2018
B	New Hampshire	Agent	Approved	10/05/2018
B	New Jersey	Agent	Approved	10/05/2018
B	New York	Agent	Approved	10/05/2018
IA	New York	Investment Adviser Representative	Approved	05/26/2021
B	North Carolina	Agent	Approved	10/05/2018
B	Ohio	Agent	Approved	06/25/2026
B	Pennsylvania	Agent	Approved	10/05/2018
B	South Carolina	Agent	Approved	11/26/2018
B	South Dakota	Agent	Approved	01/07/2025
B	Tennessee	Agent	Approved	10/05/2018
B	Texas	Agent	Approved	10/05/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	10/05/2018
B	Virginia	Agent	Approved	10/05/2018
B	Washington	Agent	Approved	10/05/2018

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED

Qualifications

400 BROADHOLLOW ROAD
SUITE 401
MELVILLE, NY 11747

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	08/16/1994

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	01/25/1991
B	General Securities Representative Examination (S7)	Series 7	08/20/1983

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/16/1994
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/23/1983

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	09/18/2009 - 10/04/2018	UBS FINANCIAL SERVICES INC.	CRD# 8174	GARDEN CITY, NY
B	12/12/2008 - 10/04/2018	UBS FINANCIAL SERVICES INC.	CRD# 8174	GARDEN CITY, NY
B	04/02/2007 - 12/15/2008	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	JERICHO, NY
IA	04/02/2007 - 12/15/2008	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	JERICHO, NY
IA	09/19/2005 - 04/02/2007	MORGAN STANLEY	CRD# 7556	JERICHO, NY
B	01/22/1990 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	JERICHO, NY
B	08/23/1983 - 01/27/1990	BUTCHER & SINGER INC.	CRD# 6517	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2018 - Present	Stifel Nicolaus & Co Inc	Managing Director/Investments	Y	Garden City, NY, United States
12/2008 - 09/2018	UBS FINANCIAL SERVICES INC	Managing Director - Wealth Management	Y	MITCHELL FIELD, NY, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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)Kou Law Cohen LLC; 46 Clock Tower Lane Old Westbury NY 11568; real estate; Managing Partner; delegation of day to day operation; 05/30/2006; 5.00 Hour(s) Per Month; not during securities trading hours; Investment-Related
2)Kou Law Cohen & Hu LLC; 46 clock tower lane old westbury NY 11568; real Estate; Managing Partner; Delegate day to day operation; 05/30/2005; 5.00 Hour(s) Per Month; not during securities trading hours; Investment-Related
3)Kou law Cohen & Bennett LLC; 46 clock tower lane old westbury NY 11568; real estate; Managing partner; delegate day to day; 01/11/2013; 5.00 Hour(s) Per Month; not during securities trading hours; Investment-Related

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - o A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
  - o An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - o A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - o A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1
Termination	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS Financial Services Inc.
Allegations:	Time Frame: February 22, 2017 to January 11, 2019 The client alleges two bonds were purchased without her knowledge. The client further alleges those bonds were not suitable as she was ninety years old and had thirty year maturities. The client further alleges she was taken advantage of due to her age when she tried to liquidate and transfer her account. The alleged damages are estimated to be in excess of $5,000.00
Product Type:	Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged damages estimated to be in excess of $5,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/14/2019

Complaint Pending?	No
Status:	Denied
Status Date:	02/21/2019
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS Financial Services Inc.
Allegations:	Time Frame: February 22, 2017 to January 11, 2019 The client alleges two bonds were purchased without her knowledge. The client further alleges those bonds were not suitable as she was ninety years old and had thirty year maturities. The client further alleges she was taken advantage of due to her age when she tried to liquidate and transfer her account. The alleged damages are estimated to be in excess of $5,000.00
Product Type:	Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged damages estimated to be in excess of $5,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/14/2019
Complaint Pending?	No
Status:	Denied
Status Date:	02/21/2019
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	UBS mistakenly amended my license. The customer letter specifically was written "to convey [her] dissatisfaction with how [she has] been treated by UBS Financial Services Inc. in recent months." Her complaint specifically relates to the time period starting on October 31, 2018 and afterwards, which was months after my departure. The client was sent to the call center after my departure from UBS. The account was no longer managed at the call center , where this compliant occurred.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	UBS FINANCIAL SERVICES INC
Termination Type:	Discharged
Termination Date:	09/25/2018
Allegations:	Cohen's employment was terminated after an investigation by the Firm determined that he: 1) violated a FINRA rule and the Firm's policies and procedures by providing monetary benefits to a Firm employee without the Firm's knowledge or approval; 2) provided inaccurate and inconsistent statements during the investigation; and 3) provided numerous inaccurate affirmations on the annual Firm compliance questionnaires.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	UBS FINANCIAL SERVICES INC
Termination Type:	Discharged
Termination Date:	09/25/2018
Allegations:	Cohen's employment was terminated after an investigation by the Firm determined that he: 1) violated a FINRA rule and the Firm's policies and procedures by providing monetary benefits to a Firm employee without the Firm's knowledge or approval; 2) provided inaccurate and inconsistent statements during the investigation; and 3) provided numerous inaccurate affirmations on the annual Firm compliance questionnaires.
Product Type:	No Product
Broker Statement	Based upon the following, I believe the UBS statement to be inaccurate. Members of the management team and operations team that were in place when I joined UBS provided statements that they were aware of the car lease payments for my assistants when I joined UBS and that the payment was approved. The payments were made for my UBS account monthly for almost ten years at the instruction of the UBS sales manager at the time I joined. FINRA rule 3220 states a limit of gifts to the employees of others. The assistant of issue has been my assistant at Morgan Stanley, UBS and currently at Stifel. It should be noted the attorney that championed my departure from UBS is no longer licensed to practice law and is no longer employed by UBS.

End of Report

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