



## IAPD Report

# BROOKS DAVID ROBINSON

CRD# 1300829

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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

### BROOKS DAVID ROBINSON (CRD# 1300829)

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 **12/18/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	SYNOVUS SECURITIES, INC.	CRD# 14023	03/17/2006
<b>IA</b>	SYNOVUS SECURITIES, INC.	CRD# 14023	03/20/2006

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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
<b>IA</b>	MORGAN STANLEY	7556	MYRTLE BEACH, SC	03/29/1996 - 11/10/2005
<b>B</b>	MORGAN STANLEY DW INC.	7556	MYRTLE BEACH, SC	06/10/1994 - 11/10/2005
<b>B</b>	SMITH BARNEY INC.	7059	NEW YORK, NY	05/11/1990 - 07/01/1994

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
Regulatory Event	1
Customer Dispute	2



## 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 **11** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **SYNOVUS SECURITIES, INC.**

Main Address: 33 WEST 14TH STREET  
3RD FLOOR  
COLUMBUS, GA 31901

Firm ID#: 14023

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	03/17/2006
<b>B</b>	FINRA	General Securities Sales Supervisor	Approved	03/17/2006
<b>IA</b>	Alabama	Investment Adviser Representative	Approved	06/09/2006
<b>B</b>	Alabama	Agent	Approved	06/14/2006
<b>B</b>	Colorado	Agent	Approved	11/19/2024
<b>IA</b>	Colorado	Investment Adviser Representative	Approved	11/19/2024
<b>B</b>	Florida	Agent	Approved	06/02/2006
<b>IA</b>	Florida	Investment Adviser Representative	Approved	06/02/2006
<b>B</b>	Georgia	Agent	Approved	05/22/2006
<b>IA</b>	Georgia	Investment Adviser Representative	Approved	05/22/2006
<b>B</b>	Maryland	Agent	Approved	03/21/2006
<b>IA</b>	Maryland	Investment Adviser Representative	Approved	05/04/2016
<b>B</b>	Michigan	Agent	Approved	12/02/2024



## Qualifications

	Regulator	Registration	Status	Date
IA	Michigan	Investment Adviser Representative	Approved	12/02/2024
B	Nevada	Agent	Approved	01/13/2025
IA	Nevada	Investment Adviser Representative	Approved	04/29/2025
B	New York	Agent	Approved	03/27/2006
B	North Carolina	Agent	Approved	12/17/2012
IA	North Carolina	Investment Adviser Representative	Approved	12/15/2022
B	South Carolina	Agent	Approved	03/20/2006
IA	South Carolina	Investment Adviser Representative	Approved	03/20/2006
B	Texas	Agent	Approved	04/14/2011
IA	Texas	Investment Adviser Representative	Restricted Approval	01/29/2011

## Branch Office Locations

**SYNOVUS SECURITIES, INC.**  
200 NORTH GREENWOOD  
LAGRANGE, GA 30240





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



#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	11/06/2000
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	09/26/2000

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	National Commodity Futures Examination (S3)	Series 3	04/22/2003
	General Securities Representative Examination (S7)	Series 7	09/15/1984

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	02/17/1993
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/05/1985

### PROFESSIONAL DESIGNATIONS

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

No information reported.



## 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	03/29/1996 - 11/10/2005	MORGAN STANLEY	CRD# 7556	MYRTLE BEACH, SC
B	06/10/1994 - 11/10/2005	MORGAN STANLEY DW INC.	CRD# 7556	MYRTLE BEACH, SC
B	05/11/1990 - 07/01/1994	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	09/22/1988 - 05/21/1990	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	NEW YORK, NY
B	09/21/1984 - 09/01/1988	BAKER, WATTS & CO., INC.	CRD# 68	

### 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
10/2019 - Present	SYNOVUS BANK	FINANCIAL ADVISOR	Y	LAGRANGE, GA, United States
10/2019 - Present	SYNOVUS SECURITIES, INC.	FINANCIAL ADVISOR	Y	LAGRANGE, GA, United States
05/2006 - 10/2019	SYNOVUS BANK	FINANCIAL CONSULTANT	Y	LAGRANGE, GA, United States
03/2006 - 10/2019	SYNOVUS SECURITIES, INC.	FINANCIAL CONSULTANT	Y	LAGRANGE, GA, 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.

No information reported.



## 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*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - 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*.
  - 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.
  - 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.
  - 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
Regulatory Event	1
Customer Dispute	2

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalt(ies) /Fine(s)
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	07/20/2000
<b>Docket/Case Number:</b>	C9A000025
<b>Employing firm when activity occurred which led to the regulatory action:</b>	MORGAN STANLEY DEAN WITTER
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	NASD RULES 2110 AND 2310 - RESPONDENT EXERCISED EFFECTIVE CONTROL OVER THE ACCOUNT OF A PUBLIC CUSTOMER AND RECOMMENDED NUMEROUS PURCHASES AND SALES OF SECURITIES WITHOUT HAVING REASONABLE GROUNDS FOR BELIEVING THAT SUCH TRANSACTIONS WERE SUITABLE BASED UPON THE SIZE AND FREQUENCY OF THE TRANSACTIONS AND THE NATURE OF THE ACCOUNT.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Resolution Date:</b>	07/20/2000
<b>Sanctions Ordered:</b>	Monetary/Fine \$5,000.00

**Suspension****Other Sanctions Ordered:****Sanction Details:**

FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 14 DAYS, DEEMED TO HAVE BEEN SERVED BASED UPON A 14 DAY SUSPENSION IMPOSED BY HIS MEMBER FIRM.

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**Reporting Source:**

Individual

**Regulatory Action Initiated By:**

NASD REGULATION, INC.

**Sanction(s) Sought:**

Suspension

**Other Sanction(s) Sought:****Date Initiated:**

03/13/2000

**Docket/Case Number:**

NO. C9A000025

**Employing firm when activity occurred which led to the regulatory action:**

MORGAN STANLEY DEAN WITTER

**Product Type:**

Equity Listed (Common & Preferred Stock)

**Other Product Type(s):****Allegations:**

ALLEGED VIOLATIONS OF NASD CONDUCT RULES 2110 AND 2310.

**Current Status:**

Final

**Resolution:**

Acceptance, Waiver & Consent(AWC)

**Resolution Date:**

07/20/2000

**Sanctions Ordered:**

Monetary/Fine \$5,000.00

**Other Sanctions Ordered:**

N/A

**Sanction Details:**

SUSPENDED FOR FOURTEEN (14) DAYS FROM ASSOCIATION IN ANY CAPACITY WITH ANY NASD MEMBER, DECURED TO HAVE BEEN SERVED BASED UPON TWO WEEK SUSPENSION IMPOSED BY MORGAN STANLEY DEAN WITTER BETWEEN JULY 26, AND AUGUST 6, 1999. FINE IN THE AMOUNT OF \$5,000 PAID IN AUGUST 2000.

**Broker Statement**

MR. ROBINSON ENTERED INTO A LETTER OF ACCEPTANCE, WAIVER AND CONSENT ACCEPTING AND CONSENTING TO THE NASD'S FINDINGS WITHOUT ADMITTING OR DENYING THE ALLEGED VIOLATIONS AND CONSENTED TO THE IMPOSITION OF THE LISTED SANCTIONS.



## 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 2

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Synovus Securities, Inc.
<b>Allegations:</b>	Client alleged the RR omitted information concerning required distributions from IRA she inherited from her father, resulting in her having to pay taxes and penalties because she failed to take withdrawals for two years.
<b>Product Type:</b>	No Product
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Client did not specify an amount but the firm believes the tax penalties involved would likely be more than \$5,000.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	09/23/2016
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	10/07/2016
<b>Settlement Amount:</b>	\$0.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	The allegations were lacking any merit; the firm's records show the client was informed at the time of account opening required distributions were likely and that she was to consult her tax professional. The client acknowledged receipt of the new account paperwork including the disclosures but stated she did not read them.

### Disclosure 2 of 2

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN STANLEY DW INC
<b>Allegations:</b>	CUSTOMER ALLEGES THAT HER ACCOUNT WAS NOT MANAGED IN ACCORDANCE WITH HER INSTRUCTIONS AND SEEKS THE



RETURN OF HER INITIAL INVESTMENT.

**Product Type:** No Product

**Alleged Damages:** \$40,000.00

### **Customer Complaint Information**

**Date Complaint Received:** 12/22/1998

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 07/20/2000

**Settlement Amount:** \$40,000.00

**Individual Contribution Amount:** \$20,000.00

### **Arbitration Information**

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** CUSTOMER COMPLAINT ONLY, NOT A LITIGATION

**Docket/Case #:** NOT APPLICABLE

**Date Notice/Process Served:** 03/13/2000

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/20/2000

**Monetary Compensation Amount:** \$40,000.00

**Individual Contribution Amount:** \$20,000.00

**Broker Statement** MR. ROBINSON DENIES THE ALLEGATIONS AGAINST HIM.



## End of Report

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