



## IAPD Report

# DAVID THOMAS MATTHEY

CRD# 1970460

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**i** Please be aware that fraudsters may link to Investment Adviser Public Disclosure 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.



## **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

### DAVID THOMAS MATTHEY (CRD# 1970460)

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 **03/01/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	03/08/1990
<b>IA</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	01/02/2004

### QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **25** 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>B</b>	MONY SECURITIES CORP.	4386	NEW YORK, NY	10/25/1989 - 06/20/1990
<b>B</b>	THE MUTUAL LIFE INSURANCE COMPANY OF NEW YORK	2873	NEW YORK, NY	10/25/1989 - 06/20/1990

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?

**No**











## 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 **25** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
Main Address: ONE BRYANT PARK  
NEW YORK, NY 10036  
Firm ID#: 7691

	Regulator	Registration	Status	Date
	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	05/09/2014
	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/09/2014
	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	05/09/2014
	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	05/09/2014
	Cboe Exchange, Inc.	General Securities Representative	Approved	03/03/1991
	FINRA	General Securities Representative	Approved	03/08/1990
	Investors' Exchange LLC	General Securities Representative	Approved	08/17/2016
	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
	New York Stock Exchange	General Securities Representative	Approved	03/08/1990
	Alabama	Agent	Approved	10/12/2016
	Alaska	Agent	Approved	03/01/2024
	Arizona	Agent	Approved	11/21/2003
	California	Agent	Approved	03/08/1990



## Qualifications

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	01/02/2004
B Colorado	Agent	Approved	11/21/2003
B Connecticut	Agent	Approved	06/15/2015
B Florida	Agent	Approved	11/21/2003
B Georgia	Agent	Approved	11/21/2003
B Hawaii	Agent	Approved	03/21/2018
B Idaho	Agent	Approved	06/14/2012
B Indiana	Agent	Approved	10/30/2023
B Iowa	Agent	Approved	05/12/2011
B Maryland	Agent	Approved	12/07/2006
B Massachusetts	Agent	Approved	01/07/2022
B Michigan	Agent	Approved	06/03/2015
B Montana	Agent	Approved	10/04/2018
B Nevada	Agent	Approved	11/21/2003
B North Carolina	Agent	Approved	11/09/2007
B Ohio	Agent	Approved	09/15/2021
B Oregon	Agent	Approved	11/21/2003
B Puerto Rico	Agent	Approved	01/13/2015
B South Carolina	Agent	Approved	07/31/2018



**Qualifications**

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	05/19/2004
IA	Texas	Investment Adviser Representative	Approved	05/19/2004
B	Utah	Agent	Approved	11/15/2019
B	Washington	Agent	Approved	12/02/2016

**Branch Office Locations**

**MERRILL LYNCH, PIERCE, FENNER & SMITH  
INCORPORATED**  
100 SPECTRUM CENTER DR  
IRVINE, CA 92618



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

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	10/21/1989

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	12/11/2003
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	08/12/1992



### 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
B	10/25/1989 - 06/20/1990	MONY SECURITIES CORP.	CRD# 4386	NEW YORK, NY
B	10/25/1989 - 06/20/1990	THE MUTUAL LIFE INSURANCE COMPANY OF NEW YORK	CRD# 2873	NEW YORK, NY

### 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
09/2009 - Present	BANK OF AMERICA, N.A.	SENIOR FINANCIAL ADVISOR	Y	SANTA ANA, CA, United States
02/1990 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	SENIOR FINANCIAL ADVISOR	Y	SANTA ANA, CA, 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.

I\*107117  
FOR PROFIT OR NOT FOR PROFIT: NON-PROFIT ORGANIZATION  
NAME OF OUTSIDE BUSINESS ORGANIZATION: GINNY'S KIDS INTERNATIONAL  
INVESTMENT RELATED: N  
ADDRESS OF BUSINESS:  
ARVADA, COLORADO 80006  
NATURE OF BUSINESS: CHARITABLE ORGANIZATION,  
POSITION, TITLE, ASSOCIATION: COMMITTEE MEMBER,  
START DATE OF RELATIONSHIP: 6/1/2017  
NUMBER OF HOURS DEVOTED: 120 HOUR(S) ANNUALLY  
NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0  
DUTIES: GINNY S KIDS INTERNATIONAL IS A REGISTERED 501C3 CHARITABLE ORGANIZATION. MY INVOLVEMENT IS TO HELP FACILITATE DREAM TRIPS FOR TERMINALLY ILL CHILDREN AND THEIR FAMILIES.





## End of Report

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