



IAPD Report

DAVID BRUCE MIRSKY

CRD# 2122683

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

DAVID BRUCE MIRSKY (CRD# 2122683)

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 **02/16/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	02/19/2025
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	02/20/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	MERCER GLOBAL ADVISORS INC.	147363	Rochester, NY	02/10/2022 - 04/28/2023
B	LEIGH BALDWIN & CO., LLC	38751	ROCHESTER, NY	08/15/2011 - 03/14/2023
IA	MIRSKY FINANCIAL MANAGEMENT CORP.	166061	ROCHESTER, NY	12/03/2012 - 03/25/2022

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
Termination	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 3 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**
Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757
Firm ID#: 134139

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	01/21/2026
IA New York	Investment Adviser Representative	Approved	02/19/2025

Branch Office Locations

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
140 Allens Creek Rd., Ste. 110
Rochester, NY 14618

Employment 2 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH, INC.**
Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757
Firm ID#: 39543

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	02/20/2025
B Florida	Agent	Approved	07/02/2025
B New York	Agent	Approved	02/20/2025
B North Carolina	Agent	Approved	02/25/2025

Branch Office Locations



Qualifications

CAMBRIDGE INVESTMENT RESERARCH, INC.

140 Allens Creek Rd.
Ste. 110
Rochester, NY 14618



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
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B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B	General Securities Representative Examination (S7)	Series 7	01/02/1992
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State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/17/1992
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B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/13/1992
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Personal Financial Specialist

This representative holds or did hold **2** 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 & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	02/10/2022 - 04/28/2023	MERCER GLOBAL ADVISORS INC.	CRD# 147363	Rochester, NY
B	08/15/2011 - 03/14/2023	LEIGH BALDWIN & CO., LLC	CRD# 38751	ROCHESTER, NY
IA	12/03/2012 - 03/25/2022	MIRSKY FINANCIAL MANAGEMENT CORP.	CRD# 166061	ROCHESTER, NY
B	05/09/1996 - 08/26/2011	ENSEMBLE FINANCIAL SERVICES, INC.	CRD# 17443	ROCHESTER, NY
B	01/07/1992 - 11/27/2006	U S G M SECURITIES, INC.	CRD# 7866	CORNING, 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
02/2025 - Present	Cambridge Investment Research Advisors Inc.	Investment Advisor Representative	Y	Fairfield, IA, United States
02/2025 - Present	Cambridge Investment Research Inc.	Registered Representative	Y	Fairfield, IA, United States
08/2023 - Present	ROCHESTER INSTITUTE OF TECHNOLOGY	VISITING PROFESSOR	N	ROCHESTER, NY, United States
06/1995 - Present	DAVID B. MIRSKY, CPA/PFS,CFP®,CMA	OWNER	N	PITTSFORD, NY, United States
08/2023 - 12/2023	NAZARETH UNIVERSITY	VISITING PROFESSOR	N	PITTSFORD, NY, United States
12/1990 - 04/2023	JOHN G. ULLMAN & ASSOC., INC.	FINANCIAL CONSULTANT	Y	CORNING, NY, United States
12/2021 - 03/2023	Mercer Global Advisors	Senior Wealth Advisor	Y	Rochester, NY, United States
09/2011 - 03/2023	LEIGH BALDWIN & CO., LLC	REGISTERED REPRESENTATIVE	Y	CAZENOVIA, NY, United States
07/1999 - 11/2021	MIRSKY FINANCIAL MANAGEMENT CORP.	PRESIDENT	Y	Rochester, NY, United States



Registration & Employment History



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. DAVID B. MIRSKY, ROCHESTER NY 14610, United States, 02/13/2025, Agent, Insurance/Benefits/Human Resources, INV REL, 5 HR/MO - 1 HR/MO TRADING
2. FOCUSED WEALTH ADVISORS LLC, 140 ALLENS CREEK ROAD, SUITE 110, ROCHESTER NY 14618, United States, 02/13/2025, IAR, RIA Affiliation, INV REL, 50 HR/MO - 40 HR/MO TRADING
3. DAVID B. MIRSKY, CPA/PFS, CFP, CMA, ROCHESTER NY 14610-1609, United States, 02/13/2025, Certified Public Accountant, Tax Services, NIR, 10 HR/MO - 8 HR/MO TRADING
4. ROCHESTER INSTITUTE OF TECHNOLOGY, ONE LOMB MEMORIAL DRIVE, ROCHESTER NY 14623, United States, 02/13/2025, W2 Employee, College Professor, NIR, 12 HR/MO - 1 HR/MO TRADING
5. GREEN TECH ROCHESTER SCHOOL FOR BOYS, ROCHESTER NY 14620, United States, 02/13/2025, Board Trustee, Board Member/Officer/Director/Committee Member/Board Trustee, NIR, 3HR/MO - 0 HR/MO TRADING
6. CIRA, 1776 PLEASANT PLAIN RD, FAIRFIELD, IA, AS ADVISORY REP OF AN RIA, INV REL, 160 HR/MO, 120 HR/MO TRADING, 02/2025
7. JEWISH FAMILY SERVICES OF ROCHESTER, 255 East Ave., Suite 201, ROCHESTER NY 14604, United States, 07/2025, BOARD MEMBER, NIR, 2 HR/MO - 0 HR/MO TRADING.
8. THE TUDORS HOMEOWNERS' ASSOCIATION, INC., 1491 East Ave, Rochester NY 14610, United States, 09/2025, Treasurer, Volunteer, NIR, 1 HR/MO - 0 HR/MO TRADING.



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
Termination	2

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 2

Reporting Source: Firm

Firm Name: Mercer Global Advisors

Termination Type: Voluntary Resignation

Termination Date: 03/31/2023

Allegations: The Adviser made the Firm aware of his conduct at an unaffiliated broker-dealer where he, in his capacity as a registered representative, contacted a third-party variable annuity company at the request of a client and held himself out to be that client in order to effectuate a withdrawal request for the client. Based on that conduct, the Firm made the decision to allow the Adviser to voluntarily resign effective March 31, 2023. An internal review did not indicate that the violative conduct extended to services provided through the Firm.

Product Type: No Product

Reporting Source: Individual

Firm Name: Mercer Global Advisors

Termination Type: Voluntary Resignation

Termination Date: 03/31/2023

Allegations: The Adviser made the Firm aware of his conduct at an unaffiliated broker-dealer where he, in his capacity as a registered representative, contacted a third-party variable annuity company at the request of a client and held himself out to be that client in order to effectuate a withdrawal request for the client. Based on that conduct, the Firm made the decision to allow the Adviser to voluntarily resign effective March 31, 2023. An internal review did not indicate that the violative conduct extended to services provided through the Firm.

Product Type: No Product



Disclosure 2 of 2

Reporting Source: Firm
Firm Name: Leigh Baldwin & Co., LLC
Termination Type: Permitted to Resign
Termination Date: 02/22/2023

Allegations: The registered representative on the account, as instructed by the client, reached out to a third-party variable annuity company to effectuate a client transaction and held himself out to be the client. The client's funds were appropriately deposited by the variable annuity company directly into the client's checking account as requested by the client. Therefore, there was no harm to the client.

Product Type: Annuity-Variable

Reporting Source: Individual
Firm Name: LEIGH BALDWIN & CO., LLC
Termination Type: Permitted to Resign
Termination Date: 02/22/2023

Allegations: The registered representative on the account, as instructed by the client, reached out to a third-party variable annuity company to effectuate a client transaction and held himself out to be the client. The client's funds were appropriately deposited by the variable annuity company directly into the client's checking account as requested by the client. Therefore, there was no harm to the client.

Product Type: Annuity-Variable



End of Report

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