



IAPD Report

DAVID MATHEW PARENT

CRD# 2147880

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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

DAVID MATHEW PARENT (CRD# 2147880)

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 **05/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	12/02/2025
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	12/02/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	FINANCIAL VISION ADVISORY SERVICES, LLC	120921	East Hartford, CT	04/08/2003 - 04/02/2026
B	OSAIC WEALTH, INC.	23131	EAST HARTFORD, CT	06/14/2024 - 12/04/2025
B	SECURITIES AMERICA, INC.	10205	EAST HARTFORD, CT	09/18/2020 - 06/14/2024

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

Employment 1 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 Principal	Approved	12/02/2025
B FINRA	General Securities Representative	Approved	12/02/2025
B Colorado	Agent	Approved	12/02/2025
B Connecticut	Agent	Approved	12/02/2025
B Florida	Agent	Approved	12/02/2025
B Georgia	Agent	Approved	12/02/2025
B Kentucky	Agent	Approved	12/02/2025
B Maryland	Agent	Approved	12/02/2025
B Massachusetts	Agent	Approved	12/02/2025
B Minnesota	Agent	Approved	12/02/2025
B New Hampshire	Agent	Approved	12/02/2025
B New York	Agent	Approved	12/02/2025
B North Carolina	Agent	Approved	12/05/2025



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	12/02/2025
B Pennsylvania	Agent	Approved	12/02/2025
B Rhode Island	Agent	Approved	12/02/2025
B South Carolina	Agent	Approved	12/02/2025
B Tennessee	Agent	Approved	12/02/2025
B Washington	Agent	Approved	12/02/2025
B Wisconsin	Agent	Approved	12/02/2025

Branch Office Locations

CAMBRIDGE INVESTMENT RESERARCH, INC.
 55 Hartland St.
 Ste. 402
 East Hartford, CT 06108

Employment 2 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 Connecticut	Investment Adviser Representative	Approved	12/02/2025

Branch Office Locations

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
 55 Hartland St.
 Ste. 402
 East Hartford, CT 06108



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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	10/25/2001

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	08/15/1991

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	10/01/1992

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
IA	04/08/2003 - 04/02/2026	FINANCIAL VISION ADVISORY SERVICES, LLC	CRD# 120921	East Hartford, CT
B	06/14/2024 - 12/04/2025	OSAIC WEALTH, INC.	CRD# 23131	EAST HARTFORD, CT
B	09/18/2020 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	EAST HARTFORD, CT
B	01/21/2000 - 09/18/2020	SECURITIES SERVICE NETWORK, LLC	CRD# 13318	EAST HARTFORD, CT
IA	04/08/2003 - 12/31/2003	FINANCIAL VISION ADVISORY SERVICES, LLC	CRD# 120921	EAST HARTFORD, CT
B	07/02/1999 - 01/21/2000	MAIN STREET MANAGEMENT COMPANY	CRD# 547	BOSTON, MA
B	08/16/1991 - 07/08/1999	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	08/16/1991 - 07/08/1999	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
12/2025 - Present	Cambridge Investment Research Advisors, Inc.	Investment Advisor Representative	Y	Fairfield, IA, United States
12/2025 - Present	Cambridge Investment Research, Inc.	Registered Representative	Y	Fairfield, IA, United States
11/2001 - Present	FINANCIAL VISION, LLC	MEMBER	Y	EAST HARTFORD, CT, United States
05/2002 - 04/2026	FINANCIAL VISION ADVISORY SERVICES, LLC	MEMBER	Y	EAST HARTFORD, CT, United States
06/2024 - 12/2025	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE	Y	EAST HARTFORD, CT, United States
09/2020 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	EAST HARTFORD, CT, United States
01/2000 - 09/2020	SECURITIES SERVICE NETWORK, INC.	REGISTERED REPRESENTATIVE	Y	GLASTONBURY, CT, 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. FINANCIAL VISION, LLC, 55 Hartland Street, Suite 402, East Hartford CT 06108, United States, 01/02/2025, President, Providing financial advice, products and services to meet the needs of clients, INVESTMENT-RELATED, 20 HR/MO - 20 HR/MO TRADING
2. DAVID M PARENT, 55 Hartland Street, Suite 402, East Hartford CT 06108, United States, 01/02/2025, Agent, Fixed Insurance, INV REL, 5 HR/MO - 5 HR/MO TRADING.
3. CIRA, 1776 Pleasant Plain Road, Fairfield IA 52556, United States, 12/02/2025, Investment Advisor Representative, CIRA Affiliation, INV REL, 160 HR/MO - 120 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
Customer Dispute	2

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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Securities Service Network, LLC
Allegations:	On 6/13/11, the client purchased the Nationwide Destination L contract. the client recently exchanged the contract and is asking that the fee assessed by Nationwide, \$5,207.60, be waived because her representative allegedly did not properly disclose the fees and features of the product. These allegations were voiced shortly after representative recommended that the client obtain a new representative because she had moved to FL and he could no longer conduct face-to-face meetings with her. Our records contradict her allegations and show that she explicitly acknowledged her understanding of the fees and features of the product multiple times.
Product Type:	Annuity-Variable
Alleged Damages:	\$5,207.60
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:	06/05/2018
Complaint Pending?	No
Status:	Denied



Status Date: 06/18/2018

Settlement Amount:

Individual Contribution Amount:

Broker Statement

The person who made this claim had completed and signed all the forms to open up this annuity dated 5-20-11. She had ample time to think about her decision and only after such she decided to go ahead with purchasing the annuity. Over the ensuing years since purchase we had conducted numerous reviews which run about two to three times a year. These reviews consist of many things such as discussing goals, objectives, cash reserves, income, retirement, risk tolerance, investment, tax and estate planning. During these reviews I had to re-explain all the annuity features, benefits, costs etc. which she stated "I know this is about the umpteenth time but can you explain this annuity again", which of course I did. If you look at the time frame of initial purchase and the time she complained that's over 7 years at a minimum of 2 reviews a year. It's quite evident she was fully aware of everything about the annuity in fact she had similar annuities prior to this purchase. Therefore the annuity features, benefits and costs were not foreign to her. Seven years after initial purchase she tried unsuccessfully to extract money from our firm by her fabrication of events. As stated by our compliance department who researched this in detail she was denied and her false accusations were just that.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SECURITIES SERVICE NETWORK, INC.

Allegations: CLIENT ALLEGES THAT MR. PARENT EXCHANGED ONE VARIABLE ANNUITY FOR ANOTHER WITHOUT HER AUTHORIZATION. THE TRANSACTION OCCURRED IN MARCH 2011. SHE ALSO CLAIMS THAT SHE WAS UNWILLING TO ACCEPT A FEE INCREASE ON HER MANAGED ACCOUNT, WHICH IS SEPARATE AND APART FROM THE ANNUITY.

Product Type: Annuity-Variable

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): NO SPECIFIC DAMAGE AMOUNT IS ALLEGED. THE FIRM IS UNABLE TO MAKE A GOOD FAITH DETERMINATION THAT DAMAGEES WOULD BE LESS THAN \$5,000.

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: 11/10/2011

Complaint Pending? No

Status: Denied

Status Date: 11/21/2011

Settlement Amount:



**Individual Contribution
Amount:**

Broker Statement

THE REPRESENTATIVE HAS NEVER PREVIOUSLY BEEN THE SUBJECT OF A COMPLAINT. REPRESENTATIVE DENIES ALL ALLEGATIONS OF WRONGDOING. FIRM INVESTIGATED CUSTOMER'S ALLEGATIONS, FOUND NO WRONGDOING BY REPRESENTATIVE AND DENIED CLAIM. PRIOR TO SUBMITTING LETTER UNDERLYING THIS MATTER TO REPRESENTATIVE ONLY, CLIENT NEVER COMPLAINED TO REPRESENTATIVE OR FIRM CONCERNING PRODUCT, ADVISORY FEE OR ANY OTHER MATTER. REPRESENTATIVE CAREFULLY AND THOROUGHLY RESEARCHED AND PROFILED CLIENT'S INVESTMENT OBJECTIVES AND FINANCIAL CONDITION. CLIENT WAS PROVIDED WITH ALL REQUIRED DISCLOSURES AND EXECUTED ALL NECESSARY PAPERWORK CONCERNING PRODUCT AND ADVISORY FEE. PRODUCT WAS SUITABLE FOR CLIENT IN LIGHT OF INVESTMENT OBJECTIVES AND FINANCIAL CONDITION AS REPRESENTED BY CLIENT. ADVISORY FEE WAS REASONABLE AND ALIGNED WITH INDUSTRY STANDARD. CLIENT AUTHORIZED ACQUISITION OF PRODUCT AND ASSESSMENT OF ADVISORY FEE.



End of Report

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