IAPD Report

DAVID MITCHELL RIVLIN

CRD# 2530101

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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 MITCHELL RIVLIN (CRD# 2530101)

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 **03/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	12/05/2016
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	12/05/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 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	LPL FINANCIAL LLC	6413	PIKESVILLE, MD	12/15/2010 - 01/20/2017
IA	LPL FINANCIAL LLC	6413	PIKESVILLE, MD	12/15/2010 - 01/20/2017
IA	1ST GLOBAL ADVISORS INC	111133	OWINGS MILLS, MD	01/30/2006 - 12/21/2010

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**

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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 **1** 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 Representative	Approved	12/05/2016
B	FINRA	Invest. Co and Variable Contracts	Approved	12/05/2016
B	Maryland	Agent	Approved	12/05/2016

Branch Office Locations

CAMBRIDGE INVESTMENT RESERARCH, INC.
300 Redland Court
Ste 212
Owings Mills, MD 21117

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	Maryland	Investment Adviser Representative	Approved	12/05/2016

Branch Office Locations

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
300 Redland Court
Ste 212
Owings Mills, MD 21117

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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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/11/2007
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/29/1994

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/17/2005
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/05/2005

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.

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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	12/15/2010 - 01/20/2017	LPL FINANCIAL LLC	CRD# 6413	PIKESVILLE, MD
IA	12/15/2010 - 01/20/2017	LPL FINANCIAL LLC	CRD# 6413	PIKESVILLE, MD
IA	01/30/2006 - 12/21/2010	1ST GLOBAL ADVISORS INC	CRD# 111133	OWINGS MILLS, MD
B	11/30/1994 - 12/21/2010	1ST GLOBAL CAPITAL CORP.	CRD# 30349	OWINGS MILLS, MD

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
12/2016 - Present	Cambridge Investment Research Advisors, Inc.	Investment Adviser Representative	Y	Fairfield, IA, United States
12/2016 - Present	Cambridge Investment Research, Inc.	Registered Representative	Y	Fairfield, IA, United States
10/1992 - Present	RIVLIN, LICHTER & FELDMAN, PC	OTHER - OWNER	N	OWINGS MILLS, MD, United States
12/2010 - 12/2016	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	OWINGS MILLS, MD, 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) CIRA, IAR since 12/1/16, 35 hours weekly, 5 hours during trading.

2) Insurance agent, David M Rivlin, 300 Redland Court, Ste 212, Owings Mills, MD 21117, Agent since 12/1/16, 5 hours monthly, 1 hour during trading.

3) The Heyman Family Trust, 300 Redland Court, Ste 212, Owings Mills, MD 21117, trustee sinde 12/1/16, 4 hours monthly, 1 hour during trading.

4) The Abraham & Rebecca Heyman Foundation, Inc., Chairman and Treasurer since 12/1/16, 5 hours yearly, no hours during trading.

5)The Rivlin Group, PC, 300 Redland Court, Ste 212, Owings Mills, MD 21117, owner/CPA since 12/1/16, investment related, 40 hours weekly, 8 hours during trading.

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Registration & Employment History

OTHER BUSINESS ACTIVITIES

6.EMMASSON, 1320 ELLSWORTH INDUSTRIAL BLVD NW C-100, ATLANTA, GA, 6/2017 AS BOARD MEMBER . INV REL - 25/WK - 5/TRADING.

7.CONNECT MARYLAND INV, 300 REDLAND CT, STE 212, OWINGS MILLS, MD, 12/2016 AS SECRETARY/TREASURER. NIR - 5/YR - 0/TRADING.

8.CANCER CURE MED LLC, 300 REDLAND CT STE 212, OWINGS MILLS, MD, 12/2016 AS PASSIVE OWNER/REGISTERED AGENT. LLC PLANS TO RESEARCH, DEVELOP, MARKET, & DISTRIBUTE THERAPEUTIC MEDICINES FOR THE TREATMENT OF CANCER. NIR - 1/YR - 0/TRADING.

9.TRUSTEE FOR IRREVOCABLE TRUST FBO ERIK O., OWNINGS MILLS, MD, 12/2016. INV REL - 2/YR - 0/TRADING.

10.TRUSTEE FOR IRREVOCABLE TRUST FBO HEATHER O., OWNINGS MILLS, MD, 12/2016. INV REL - 2/YR - 0/TRADING.

11.TRUSTEE FOR 2010 DAVID O. INSURANCE TRUST AGREEMENT, OWNINGS MILLS, MD, 12/2016. INV REL - 1/YR - 0/TRADING.

12.SIMPLEX TRADING COMPANY, 702 W LAKE AVE, BALTIMORE, MD, 12/2016 AS SECRETARY OF BUSINESS. PREPARES TAX RETURN FOR COMPANY. INV REL - 4/YR - 0/TRADING.

13.THE MOSAIC GROUP, INC, 702 WEST LAKE AVE, BALTIMORE, MD, CPA/ENROLLED AGENT/TAX PREP/ACCOUNTING SERVICES, 05/08/20, NIR, 2/WK- 2/TRADING

14.PIKESVILLE HIGH SCHOOL MUSIC BOOSTERS, 7621 Labyrinth Road, Pikesville MD 21208-4411, United States, 01/01/1999, Resident Agent, Administrative, NIR, 0 HR/MO - 0 HR/MO TRADING

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End of Report

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