



IAPD Report

DONALD CHRISTOPHER MEGLIOLA

CRD# 3011458

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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

DONALD CHRISTOPHER MEGLIOLA (CRD# 3011458)

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 **08/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	03/03/2014
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	03/03/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **40** 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	FULCRUM ADVISORY SERVICES, LLC	131777	RESTON, VA	11/22/2006 - 03/27/2014
B	FULCRUM SECURITIES, LLC	140084	RESTON, VA	11/22/2006 - 03/26/2014
IA	ING FINANCIAL PARTNERS, INC	2882	RESTON, VA	07/29/2002 - 12/31/2006

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	3



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 **40** 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	03/03/2014
B FINRA	General Securities Representative	Approved	03/03/2014
B FINRA	Investment Banking Representative	Approved	03/03/2014
B FINRA	Operations Professional	Approved	03/03/2014
B FINRA	Investment Banking Principal	Approved	10/01/2018
B Alabama	Agent	Approved	03/17/2014
B Arizona	Agent	Approved	11/14/2014
B California	Agent	Approved	03/03/2014
B Colorado	Agent	Approved	03/17/2014
B Connecticut	Agent	Approved	03/03/2014
B Delaware	Agent	Approved	07/12/2019
B District of Columbia	Agent	Approved	03/03/2014
B Florida	Agent	Approved	03/03/2014



Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	03/04/2014
B Hawaii	Agent	Approved	04/22/2024
B Illinois	Agent	Approved	03/10/2014
B Indiana	Agent	Approved	07/10/2025
B Kansas	Agent	Approved	05/26/2016
B Kentucky	Agent	Approved	03/03/2014
B Louisiana	Agent	Approved	05/19/2014
B Maine	Agent	Approved	06/08/2018
B Maryland	Agent	Approved	03/03/2014
B Massachusetts	Agent	Approved	03/06/2014
B Michigan	Agent	Approved	03/03/2014
B Minnesota	Agent	Approved	03/12/2014
B Mississippi	Agent	Approved	01/29/2020
B Missouri	Agent	Approved	05/09/2019
B Montana	Agent	Approved	03/10/2014
B New Hampshire	Agent	Approved	03/15/2019
B New Jersey	Agent	Approved	03/03/2014
B New Mexico	Agent	Approved	08/19/2025
B New York	Agent	Approved	03/03/2014



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	03/03/2014
B Ohio	Agent	Approved	03/03/2014
B Oregon	Agent	Approved	06/24/2019
B Pennsylvania	Agent	Approved	03/03/2014
B Rhode Island	Agent	Approved	03/03/2014
B South Carolina	Agent	Approved	03/03/2014
B Tennessee	Agent	Approved	01/18/2018
B Texas	Agent	Approved	03/07/2014
B Utah	Agent	Approved	04/03/2014
B Virginia	Agent	Approved	03/03/2014
B Washington	Agent	Approved	04/18/2014
B West Virginia	Agent	Approved	03/03/2014
B Wisconsin	Agent	Approved	06/20/2017

Branch Office Locations

CAMBRIDGE INVESTMENT RESEARCH, INC.
12020 SUNRISE VALLEY DR
STE 380
RESTON, VA 20191

Employment 2 of 2

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



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	01/05/2016
IA Virginia	Investment Adviser Representative	Approved	03/03/2014

Branch Office Locations

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
12020 SUNRISE VALLEY DR., STE 380
RESTON, VA 20191



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	05/04/2006

General Industry/Product Exams

Exam	Category	Date
Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	03/04/1998

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	03/24/1998
Uniform Securities Agent State Law Examination (S63)	Series 63	03/12/1998

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	11/22/2006 - 03/27/2014	FULCRUM ADVISORY SERVICES, LLC	CRD# 131777	RESTON, VA
B	11/22/2006 - 03/26/2014	FULCRUM SECURITIES, LLC	CRD# 140084	RESTON, VA
IA	07/29/2002 - 12/31/2006	ING FINANCIAL PARTNERS, INC	CRD# 2882	RESTON, VA
B	06/18/2002 - 12/31/2006	ING FINANCIAL PARTNERS, INC.	CRD# 2882	RESTON, VA
IA	03/01/1999 - 07/11/2002	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	WASHINGTON, DC
B	03/05/1998 - 07/11/2002	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	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
03/2014 - Present	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	FAIRFIELD, IA, United States
03/2014 - Present	CAMBRIDGE INVESTMENT RESEARCH, INC	REGISTERED REPRESENTATIVE	Y	FAIRFIELD, IA, United States
06/2002 - Present	DONALD MEGLIOLA-INDEPENDENT INSURANCE AGENT	INDEPENDENT INSURANCE AGENT	Y	RESTON, VA, 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) INDEPENDENT INSURANCE AGENT, 21882 FIELDTHORN TERR BROADLANDS VA, 06/2002, SELLING/SERVICING LIFE, LTC, & DISABILITY PRODUCTS THROUGH VARIOUS INDEPENDENT INSURANCE COMPANIES. INV REL, 10 HR/WK 2/TRADING
- 2) CORNELL MEN'S SOCCER EXECUTIVE COMMITTEE, 410 THURSTON AVE, ITHACA, NY 14850, 09/1997, BOARD MEMBER. NIR, 5 HOURS/YEAR, NONE DURING TRADING
- 3) SUNRISE WEALTH PARTNERS LLC, 21882 FIELDTHORN TERR, BROADLANDS, VA, 03/2014, OWNER. INV REL,



Registration & Employment History



OTHER BUSINESS ACTIVITIES

FINANCIAL PROFESSIONAL UTILIZING DBA NAME. 5 HR/WK 1/TRADING

5) CIRA, 1776 PLEASANT PLAIN RD, FAIRFIELD, IA, 3/2014 AS ADVISORY REP OF A RIA. INV REL, 20 HR/WK 4/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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Fulcrum
Allegations:	Client alleges RR failed to supervise while acting as a branch manager for the Representative of Record on client's account.
Product Type:	Equity Listed (Common & Preferred Stock) Other: Retirement Account
Alleged Damages:	\$189,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	2016-02962
Date Notice/Process Served:	04/11/2017
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/04/2017
Monetary Compensation Amount:	\$7,500.00
Individual Contribution Amount:	\$7,500.00



Broker Statement RR settled to avoid the costs and vagaries of arbitration and was dismissed with prejudice.

Disclosure 2 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: FULCRUM SECURITIES, LLC

Allegations: CUSTOMER ALLEGES HER SIGNATURE WAS SIGNED BY REPRESENTATIVE/JOINT ACCOUNT HOLDER ON NUMEROUS ACCOUNT DOCUMENTS.

Product Type: No Product

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): CUSTOMER DID NOT PROVIDE A COMPENSATORY DAMAGE AMOUNT.

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: 01/31/2015

Complaint Pending? No

Status: Withdrawn

Status Date: 09/30/2015

Settlement Amount:

Individual Contribution Amount:

Firm Statement On 9/30/15, Fulcrum Securities received an email from the customer stating the following: "As required in my divorce settlement agreement, I am withdrawing my forgery complaint against Donald Megliola that I filed with Fulcrum Securities in January. Please let me know if there is anything else that you need from me."

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: FULCRUM SECURITIES, LLC

Allegations: CUSTOMER ALLEGES THAT HER SIGNATURE WAS SIGNED BY REPRESENTATIVE/JOINT ACCOUNT HOLDER ON NUMEROUS ACCOUNT DOCUMENTS.

Product Type: No Product

Alleged Damages: \$0.00



Alleged Damages Amount Explanation (if amount not exact): CUSTOMER DID NOT PROVIDE A DAMAGE AMOUNT.

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: 03/02/2015

Complaint Pending? No

Status: Withdrawn

Status Date: 09/30/2015

Settlement Amount:

Individual Contribution Amount:

Broker Statement

IN THE MIDST OF RR'S DIVORCE PROCEEDINGS, HIS ESTRANGED WIFE HAS ALLEGED THAT AN UNIDENTIFIED PERSON SIGNED HER NAME ON UNSPECIFIED DOCUMENTS. RR ASSERTS THE DOCUMENTS IN QUESTION CAN ONLY BE THOSE REQUIRED TO OPEN JOINT ACCOUNT FOR THEIR MARITAL ASSETS. THE COMPLAINANT DOES NOT ALLEGE ANY LOSSES OR DAMAGES. RR DENIES ENGAGING IN ANY UNAUTHORIZED ACTIVITY.

The customer withdrew the complaint.

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FULCRUM SECURITIES, LLC

Allegations: CUSTOMER FILED ARBITRATION ARISING OUT OF THE LIQUIDATION OF A POSITION THAT TRANSFERRED INTO THE FIRM. IN CONNECTION WITH THAT LIQUIDATION THE CUSTOMER ASSERTS THE FOLLOWING CLAIM: BREACH OF FIDUCIARY DUTY, VIOLATION OF FINRA RULE 2110, BREACH OF CONTRACT, NEGLIGENCE, VIOLATION OF FL SECURITIES ACT AND CONTROL PERSON LIABILITY. CUSTOMER SEEKS ALLEGED DAMAGES IN THE AMOUNT OF \$569,300. THE FIRM AND ASSOCIATED PERSONS DENY LIABILITY AND WILL VIGOROUSLY DEFEND THESE CLAIMS.

Product Type: Penny Stock

Alleged Damages: \$569,300.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 13-01133

Date Notice/Process Served: 04/30/2013



Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/02/2014

Monetary Compensation Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Firm Statement IN AN EFFORT TO MINIMIZE LEGAL AND ARBITRATION FEES, FULCRUM SECURITIES, LLC SETTLED WITH THE CUSTOMER FOR \$35,000 AND THE CLAIM WAS DISMISSED WITH PREJUDICE. MR. MEGLIOLA WAS NOT ASKED TO CONTRIBUTE.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FULCRUM SECURITIES, LLC

Allegations: MR. DON C. MEGLIOLA, PRESIDENT & CEO, IS LISTED AS A RESPONDENT TO THE ARBITRATION AS A CONTROL PERSON OF FULCRUM SECURITIES, LLC. [CUSTOMER] WAS NOT A CUSTOMER OF MR. MEGLIOLA. CUSTOMER FILED ARBITRATION ARISING OUT OF THE LIQUIDATION OF A POSITION THAT TRANSFERRED INTO THE FIRM. IN CONNECTION WITH THAT LIQUIDATION THE CUSTOMER ASSERTS THE FOLLOWING CLAIMS: BREACH OF FIDUCIARY DUTY, VIOLATION OF FINRA RULE 2110, BREACH OF CONTRACT, NEGLIGENCE, VIOLATION OF FL SECURITIES ACT AND CONTROL PERSON LIABILITY. CUSTOMER SEEKS ALLEGED DAMAGES IN THE AMOUNT OF \$569,300. THE FIRM AND ASSOCIATED PERSONS DENY LIABILITY AND WILL VIGOROUSLY DEFEND THESE CLAIMS.

Product Type: Penny Stock

Alleged Damages: \$569,300.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 13-01133

Date Notice/Process Served: 04/30/2013

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/04/2014

Monetary Compensation Amount: \$35,000.00

Individual Contribution Amount: \$0.00



End of Report

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