



IAPD Report

ANTHONY JOSEPH DORVAL

CRD# 3172316

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

ANTHONY JOSEPH DORVAL (CRD# 3172316)

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 **12/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MOORS & CABOT, INC.	CRD# 594	09/13/2013
IA	MOORS & CABOT, INC	CRD# 594	09/17/2013

QUALIFICATIONS

This representative is currently registered in **5** SRO(s) and **31** 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	NEW ENGLAND SECURITIES CORPORATION	615	ORLANDO, FL	11/01/2005 - 09/17/2013
B	NEW ENGLAND SECURITIES	615	ORLANDO, FL	03/31/2003 - 09/17/2013
IA	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	ORLANDO, FL	03/15/1999 - 04/01/2003

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 31 jurisdiction(s) and 5 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MOORS & CABOT, INC**

Main Address: ONE FEDERAL STREET
19TH FLOOR
BOSTON, MA 02110

Firm ID#: 594

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	09/13/2013
B FINRA	General Securities Representative	Approved	09/13/2013
B FINRA	Municipal Securities Principal	Approved	09/13/2013
B FINRA	Municipal Securities Representative	Approved	09/13/2013
B NYSE American LLC	General Securities Principal	Approved	09/13/2013
B NYSE American LLC	General Securities Representative	Approved	09/13/2013
B NYSE American LLC	Municipal Securities Principal	Approved	09/13/2013
B NYSE American LLC	Municipal Securities Representative	Approved	09/13/2013
B NYSE Arca, Inc.	General Securities Principal	Approved	09/13/2013
B NYSE Arca, Inc.	General Securities Representative	Approved	09/13/2013
B Nasdaq Stock Market	General Securities Principal	Approved	09/13/2013
B Nasdaq Stock Market	General Securities Representative	Approved	09/13/2013
B New York Stock Exchange	General Securities Principal	Approved	09/13/2013



Qualifications

Regulator	Registration	Status	Date
B New York Stock Exchange	General Securities Representative	Approved	09/13/2013
B New York Stock Exchange	Municipal Securities Principal	Approved	09/13/2013
B New York Stock Exchange	Municipal Securities Representative	Approved	09/13/2013
B Alabama	Agent	Approved	07/08/2014
B Alaska	Agent	Approved	07/22/2022
B Arizona	Agent	Approved	10/02/2020
B California	Agent	Approved	09/13/2013
B Colorado	Agent	Approved	07/09/2020
B Connecticut	Agent	Approved	11/07/2023
B Delaware	Agent	Approved	12/18/2025
B Florida	Agent	Approved	09/13/2013
IA Florida	Investment Adviser Representative	Approved	09/17/2013
B Georgia	Agent	Approved	07/17/2014
B Illinois	Agent	Approved	06/28/2019
B Indiana	Agent	Approved	05/22/2018
B Kentucky	Agent	Approved	11/23/2016
B Maine	Agent	Approved	08/03/2016
B Maryland	Agent	Approved	11/07/2023
B Massachusetts	Agent	Approved	09/13/2013



Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	07/08/2014
B Missouri	Agent	Approved	07/08/2014
B Nevada	Agent	Approved	07/08/2014
B New Hampshire	Agent	Approved	11/07/2023
B New Jersey	Agent	Approved	07/08/2014
B New Mexico	Agent	Approved	08/26/2021
B New York	Agent	Approved	07/08/2014
B North Carolina	Agent	Approved	07/08/2014
B Ohio	Agent	Approved	09/13/2013
B Pennsylvania	Agent	Approved	09/13/2013
B South Carolina	Agent	Approved	07/08/2014
B Tennessee	Agent	Approved	07/08/2014
B Texas	Agent	Approved	09/19/2014
B Utah	Agent	Approved	10/28/2024
B Virginia	Agent	Approved	06/14/2017
B West Virginia	Agent	Approved	11/07/2023

Branch Office Locations

MOORS & CABOT, INC
500 S. Maitland Avenue
Maitland, FL 32751



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 2 principal/supervisory exams, 5 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
Municipal Securities Principal Examination (S53)	Series 53	12/19/2008
General Securities Principal Examination (S24)	Series 24	12/29/2006

General Industry/Product Exams

Exam	Category	Date
Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	12/23/2013
National Commodity Futures Examination (S3)	Series 3	12/02/2013
General Securities Representative Examination (S7)	Series 7	03/10/1999

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	03/20/1999

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** 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	11/01/2005 - 09/17/2013	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	ORLANDO, FL
B	03/31/2003 - 09/17/2013	NEW ENGLAND SECURITIES	CRD# 615	ORLANDO, FL
IA	03/15/1999 - 04/01/2003	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	ORLANDO, FL
B	03/11/1999 - 04/01/2003	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
09/2013 - Present	MOORS & CABOT, INC.	SENIOR VICE PRESIDENT	Y	WINTER PARK, FL, 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 SELLING DISABILITY, LIFE/ACCIDENT/HEALTH, LTC 2HRS/WK DURING SECURITIES TRADING HOURS & 2HRS/WKND & EVENINGS SINCE 6/2004 2)INDEPENDENT INSURANCE AGENT SELLING DISABILITY 1HR/WK DURING SECURITIES TRADING HOURS & 0HRS/WKND & EVENINGS SINCE 11/2009 3)INDEPENDENT INSURANCE AGENT SELLING GROUP DENTAL & LIFE PLAN 0HRS/WK DURING SECURITIES TRADING HOURS & 0HRS/WKND & EVENINGS SINCE 12/2009 4)INDEPENDENT INSURANCE AGENT SELLING LIFE/ACCIDENT/HEALTH 1HR/WK DURING SECURITIES TRADING HOURS & 0HRS/WKND & EVENINGS SINCE 1/2011 5)Owner of seasonal rental property located in New Smyrna Beach, FL, as of 6/2/2025; 0% time spent during business hours



End of Report

This page is intentionally left blank.