



IAPD Report

DONALD PAUL ROBBINS

CRD# 4364668

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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

DONALD PAUL ROBBINS (CRD# 4364668)

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 **10/16/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MML INVESTORS SERVICES, LLC	CRD# 10409	04/08/2016
IA	MML INVESTORS SERVICES, LLC	CRD# 10409	04/12/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **29** 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	EAGLE STRATEGIES LLC	110826	CHARLOTTE, NC	09/28/2006 - 05/06/2016
B	NYLIFE SECURITIES LLC	5167	CHARLOTTE, NC	09/13/2002 - 05/06/2016
B	NEW ENGLAND SECURITIES	615	NEW YORK, NY	03/27/2001 - 09/03/2002

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
Termination	1



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

Employment 1 of 1

Firm Name: **MML INVESTORS SERVICES, LLC**
Main Address: 1295 STATE STREET
SPRINGFIELD, MA 01111-0001
Firm ID#: 10409

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/08/2016
B	FINRA	Invest. Co and Variable Contracts	Approved	04/08/2016
B	Alabama	Agent	Approved	01/02/2024
B	Arizona	Agent	Approved	01/05/2017
B	California	Agent	Approved	04/08/2016
B	Colorado	Agent	Approved	04/08/2016
B	Delaware	Agent	Approved	06/13/2019
B	District of Columbia	Agent	Approved	07/09/2020
B	Florida	Agent	Approved	04/08/2016
B	Georgia	Agent	Approved	04/08/2016
B	Illinois	Agent	Approved	04/08/2016
B	Indiana	Agent	Approved	07/05/2016
B	Iowa	Agent	Approved	04/08/2016



Qualifications

	Regulator	Registration	Status	Date
B	Kentucky	Agent	Approved	04/11/2025
B	Maryland	Agent	Approved	04/08/2016
B	Minnesota	Agent	Approved	05/24/2022
B	Mississippi	Agent	Approved	07/30/2024
B	Missouri	Agent	Approved	07/01/2020
B	Nevada	Agent	Approved	04/08/2016
B	New Jersey	Agent	Approved	04/08/2016
B	New York	Agent	Approved	04/08/2016
B	North Carolina	Agent	Approved	04/08/2016
IA	North Carolina	Investment Adviser Representative	Approved	04/12/2016
B	Ohio	Agent	Approved	04/08/2016
B	Pennsylvania	Agent	Approved	04/08/2016
B	South Carolina	Agent	Approved	04/08/2016
B	Texas	Agent	Approved	02/05/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	02/06/2019
B	Vermont	Agent	Approved	01/26/2024
B	Virginia	Agent	Approved	04/08/2016
B	West Virginia	Agent	Approved	04/08/2016



Qualifications

Regulator	Registration	Status	Date
B Wisconsin	Agent	Approved	07/28/2020
B Wyoming	Agent	Approved	10/20/2025

Branch Office Locations

MML INVESTORS SERVICES, LLC
6025 Blakeney Park Drive
#120
Charlotte, NC 28277

MML INVESTORS SERVICES, LLC
WAXHAW, NC



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
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	04/04/2011
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/26/2001

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	09/15/2006
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/28/2001

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	09/28/2006 - 05/06/2016	EAGLE STRATEGIES LLC	CRD# 110826	CHARLOTTE, NC
B	09/13/2002 - 05/06/2016	NYLIFE SECURITIES LLC	CRD# 5167	CHARLOTTE, NC
B	03/27/2001 - 09/03/2002	NEW ENGLAND SECURITIES	CRD# 615	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
04/2016 - Present	MML Investors Services, LLC	Registered Representative	Y	Charlotte, NC, United States
03/2016 - Present	Mass Mutual Life Insurance Company	Agent	Y	Charlotte, NC, 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) NAME: DONALD ROBBINS INV REL: Y ADDR: 6025 BLAKENEY PARK DR #120, SUITE 102, CHARLOTTE, NC 28277 NATURE: INDIVIDUAL LIFE, GROUP HEALTH POSITION: SALES START: 2/2002 NO HRS/MO: 5 NO HRS/MO DUR TRADING: 4.

(2) NAME: JAAZ HOLDINGS LLC INV REL: Y ADDR: AT RESIDENTIAL ADDRESS NATURE: REAL ESTATE POSITION: OWNERSHIP START: 3/2016 NO HRS/MO: 5 NO HRS/MO DUR TRADING: 5.

(3) NAME: ROBBINS FINANCIAL GROUP LLC, INV REL:Y ADDR: 6025 BLAKENEY PARK DR #120,SUITE 102, CHARLOTTE NC 28277, NATURE: ENTITY RECEIVES COMMISSIONS TO PAY BUSINESS OPERATING EXPENSES, POSITION: OWNER, PRESIDENT, START: 01/01/2005, NO HR/MO: 1 NO HR/MO DUR TRADING:1 DUTIES: ENTITY RECEIVES COMMISSIONS TO PAY BUSINESS.

(4) NAME: DAB 22 LLC INV REL: Y ADDR: 6025 BLAKELEY PARK DR, #120 SUITE 102, CHARLOTTE NC 28277 NATURE: PAY BUSINESS EXPENSES POSITION: OWNER START: 12/12/2022 NO HRS/MO: 1 NO HRS/MO DUR TRADING: 1 DUTIES: LLC PAY RENT, PAYROLL AND OFFICE EXPENSES. ALSO FOR JOINT PSTS

(5) NAME: RFG CONSULTING, LLC INV REL: Y ADD: 6025 BLAKENEY PARK DR, SUITE 120, CHARLOTTE, NC 28277 NATURE: CONSULTING POSITION: OWNER, PRESIDENT START DATE: 06/01/2025 NO. HR/MO: 2 NO. HR/MO DURING SEC TRADING: 2 DUTIES: CONSULTING ON DEVELOPMENT, IMPLEMENTATION, AND OVERSIGHT OF RECORDKEEPING TO ENSURE ACCURATE & COMPLIANT DOCUMENTATION FOR EXECUTIVE BENEFITS, AND REPORTING WITH CREDIT UNION EXECUTIVES, BOARD MEMBERS, AND EMPLOYEES.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

(6) NAME: QUAN HOLDINGS LLC, INV REL: Y, ADD: 4111-e ROSE LAKE RD., CHARLOTTE, NC 28217, NATURE: BUSINESS INVESTMENT ENTITY, POSITION: CO-OWNER, START DATE: 03/01/2025 NO. HR/MO: 65, NO. HR/MO DURING SEC TRADING: 0, DUTIES: MANAGE BOOKKEEPING, MONITOR EQUIPMENT, BUY AND SELL ASSESTS, MANAGE TAXES AND LEGAL SERVICES, FINANCIAL REPORTING/MONITORING CASH FLOW



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
Termination	1

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:	Firm
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES LLC
Allegations:	Claimant alleges that in addition to recommending unsuitable fixed insurance products, the RR's recommended investment allocations were unsuitable. Dates: 9/14-8/16
Product Type:	Equity Listed (Common & Preferred Stock) Insurance
Alleged Damages:	\$460,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA Arbitration
Docket/Case #:	Number 16-02333
Date Notice/Process Served:	08/23/2016
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/12/2017
Monetary Compensation Amount:	\$230,000.00



Individual Contribution Amount: \$0.00

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Reporting Source: Individual

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

Allegations: Claimant alleges that in addition to recommending unsuitable fixed insurance products, the RR's recommended investment allocations were unsuitable. Dates 9/14-8/16

Product Type: Equity Listed (Common & Preferred Stock)
Insurance

Alleged Damages: \$460,000.00

Arbitration Information

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

Docket/Case #: 16-02333

Date Notice/Process Served: 08/24/2016

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/12/2017

Monetary Compensation Amount: \$230,000.00

Individual Contribution Amount: \$0.00

Broker Statement Internal case #201625765. The FINRA arbitration was settled through mediation without the registered representative's consultation, nor did he contribute financially to the settlement.

Disclosure 2 of 2

Reporting Source: Individual

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

Allegations: THE CUSTOMER ALLEGES IN OR AROUND AUGUST 2007 THE RR MADE UNAUTHORIZED TRANSFERS AND WITHDREW A TOTAL OF \$33,000 FROM HER IRA AND VARIABLE ANNUITY WHICH WAS MORE THAN SHE REQUESTED AND WHICH RESULTED IN A TAX LIABILITY.

Product Type: Annuity-Variable

Alleged Damages: \$237,000.00

Customer Complaint Information

Date Complaint Received: 03/13/2008

Complaint Pending? No



Status: Settled
Status Date: 12/18/2008
Settlement Amount: \$25,000.00
Individual Contribution Amount: \$0.00

Arbitration Information

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

Docket/Case #: 08-04302
Date Notice/Process Served: 12/18/2008
Arbitration Pending? No

Disposition: Settled
Disposition Date: 07/01/2009
Monetary Compensation Amount: \$25,000.00
Individual Contribution Amount: \$0.00



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 1

Reporting Source: Firm

Firm Name: NYLIFE SECURITIES LLC

Termination Type: Permitted to Resign

Termination Date: 04/07/2016

Allegations: Mr. Robbins resigned after a review of his business practices raised a number of concerns about his sale of life insurance, annuity and investment advisory products. The concerns included a pattern of unsuitable transactions and violations of company policies.

Product Type: Annuity-Variable
Insurance
Mutual Fund

Reporting Source: Individual

Firm Name: NYLIFE SECURITIES LLC

Termination Type: Permitted to Resign

Termination Date: 04/07/2016

Allegations: MR. ROBBINS RESIGNED AFTER A REVIEW OF HIS BUSINESS PRACTICES RAISED A NUMBER OF CONCERNS ABOUT HIS SALE OF LIFE INSURANCE, ANNUITY AND INVESTMENT ADVISORY PRODUCTS. THE CONCERNS INCLUDED A PATTERN OF UNSUITABLE TRANSACTIONS AND VIOLATIONS OF COMPANY POLICIES.

Product Type: Annuity-Variable
Insurance
Mutual Fund



End of Report

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