



IAPD Report

ANDREW GORDON MCDONALD

CRD# 1142357

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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

ANDREW GORDON MCDONALD (CRD# 1142357)

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 **04/23/2026**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
B MURIEL SIEBERT & CO., LLC	CRD# 5376	03/28/2017
IA SIEBERT ADVISORNXT, LLC.	CRD# 288572	07/03/2018

QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **34** 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 STOCKCROSS FINANCIAL SERVICES, INC.	6670	BEVERLY HILLS, CA	08/07/2018 - 01/02/2020
IA STOCKCROSS FINANCIAL SERVICES	6670	BEVERLY HILLS, CA	03/23/2017 - 12/31/2017
B STOCKCROSS FINANCIAL SERVICES, INC.	6670	BEVERLY HILLS, CA	01/03/2007 - 12/31/2017

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	5



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 **34** jurisdiction(s) and 3 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **MURIEL SIEBERT & CO., LLC**
Main Address: 300 VESEY STREET, 5TH FLOOR
NEW YORK, NY 10282
Firm ID#: 5376

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	03/28/2017
B Nasdaq Stock Market	General Securities Representative	Approved	10/25/2017
B New York Stock Exchange	General Securities Representative	Approved	10/25/2017
B Arizona	Agent	Approved	06/06/2017
B California	Agent	Approved	03/28/2017
B Colorado	Agent	Approved	02/20/2018
B Connecticut	Agent	Approved	10/23/2017
B Florida	Agent	Approved	05/08/2017
B Georgia	Agent	Approved	01/09/2024
B Hawaii	Agent	Approved	06/16/2017
B Illinois	Agent	Approved	01/31/2024
B Indiana	Agent	Approved	10/25/2017
B Iowa	Agent	Approved	10/25/2017



Qualifications

Regulator	Registration	Status	Date
B Kansas	Agent	Approved	02/13/2018
B Maine	Agent	Approved	11/01/2024
B Maryland	Agent	Approved	04/28/2026
B Massachusetts	Agent	Approved	04/27/2018
B Michigan	Agent	Approved	08/28/2017
B Missouri	Agent	Approved	09/10/2018
B Montana	Agent	Approved	05/08/2017
B Nebraska	Agent	Approved	10/25/2017
B Nevada	Agent	Approved	02/22/2018
B New Hampshire	Agent	Approved	10/24/2017
B New Mexico	Agent	Approved	10/23/2017
B North Carolina	Agent	Approved	01/02/2018
B Ohio	Agent	Approved	11/14/2017
B Oklahoma	Agent	Approved	04/19/2021
B Oregon	Agent	Approved	01/11/2018
B Pennsylvania	Agent	Approved	01/02/2018
B South Dakota	Agent	Approved	05/22/2017
B Tennessee	Agent	Approved	05/08/2017
B Texas	Agent	Approved	05/15/2017



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	09/08/2023
B Virginia	Agent	Approved	03/25/2026
B Washington	Agent	Approved	05/11/2017

Branch Office Locations

9378 Wilshire Blvd
Suite 300
Beverly Hills, CA 90212

Employment 2 of 2

Firm Name: **SIEBERT ADVISORNXT, LLC.**
Main Address: 300 VESEY STREET, 5TH FLOOR
NEW YORK, NY 10282
Firm ID#: 288572

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	08/16/2023
IA California	Investment Adviser Representative	Approved	07/03/2018
IA Colorado	Investment Adviser Representative	Approved	10/19/2023
IA Florida	Investment Adviser Representative	Approved	09/21/2023
IA Georgia	Investment Adviser Representative	Approved	01/09/2024
IA Hawaii	Investment Adviser Representative	Approved	10/09/2023
IA Illinois	Investment Adviser Representative	Approved	02/01/2024
IA Iowa	Investment Adviser Representative	Approved	07/03/2024
IA Maine	Investment Adviser Representative	Approved	11/07/2024



Qualifications

	Regulator	Registration	Status	Date
IA	Maryland	Investment Adviser Representative	Approved	02/05/2026
IA	Massachusetts	Investment Adviser Representative	Approved	07/03/2024
IA	Michigan	Investment Adviser Representative	Approved	04/19/2024
IA	Minnesota	Investment Adviser Representative	Approved	01/03/2025
IA	Missouri	Investment Adviser Representative	Approved	10/20/2025
IA	Montana	Investment Adviser Representative	Approved	10/19/2023
IA	Nebraska	Investment Adviser Representative	Approved	06/26/2025
IA	Nevada	Investment Adviser Representative	Approved	10/19/2023
IA	New Mexico	Investment Adviser Representative	Approved	08/02/2023
IA	New York	Investment Adviser Representative	Approved	02/05/2026
IA	North Carolina	Investment Adviser Representative	Approved	06/04/2024
IA	Ohio	Investment Adviser Representative	Approved	04/12/2024
IA	Oklahoma	Investment Adviser Representative	Approved	08/07/2023
IA	Oregon	Investment Adviser Representative	Approved	05/14/2024
IA	Pennsylvania	Investment Adviser Representative	Approved	12/11/2023
IA	South Dakota	Investment Adviser Representative	Approved	11/02/2023
IA	Utah	Investment Adviser Representative	Approved	08/04/2023
IA	Virginia	Investment Adviser Representative	Approved	03/25/2026
IA	Washington	Investment Adviser Representative	Approved	08/04/2023



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

SIEBERT ADVISORNXT, LLC.
9464 Wilshire BLVD
Beverly Hills, CA 90212



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, 2 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
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General Securities Representative Examination (S7)	Series 7	12/17/1983
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State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	03/22/2022
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Uniform Securities Agent State Law Examination (S63)	Series 63	10/13/1987
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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
B	08/07/2018 - 01/02/2020	STOCKCROSS FINANCIAL SERVICES, INC.	CRD# 6670	BEVERLY HILLS, CA
IA	03/23/2017 - 12/31/2017	STOCKCROSS FINANCIAL SERVICES	CRD# 6670	BEVERLY HILLS, CA
B	01/03/2007 - 12/31/2017	STOCKCROSS FINANCIAL SERVICES, INC.	CRD# 6670	BEVERLY HILLS, CA
B	11/07/1997 - 12/04/2006	TD AMERITRADE, INC.	CRD# 7870	BEVERLY HILLS, CA
B	12/28/1983 - 11/07/1997	KENNEDY, CABOT & CO.	CRD# 2417	BEVERLY HILLS, CA

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
03/2017 - Present	Muriel Siebert & Co., Inc.	Registered Representative	Y	Beverly Hills, CA, United States
01/2007 - Present	STOCKCROSS FINANCIAL SERVICES	REGISTERED REPRESENTATIVE	Y	BEVERLY HILLS, CA, 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.

- Established A & C Properties LLC, Real estate holdings for income. Not related to security investments. Approximately 10 % time devoted and not during business hours.
- Minority ownership of Broker Dealer (Stock Cross Financial Services, Inc)
Indirect Minority Ownership of Siebert Financial Corp., owner of Muriel Siebert & Co., Inc. an introducing Broker/Dealer
- Name of Business: Siebert AdvisorNxt, LLC
Investment Related: Yes
Location: Same location as Muriel Siebert, & Co., LLC
Nature of business: Investment Advisory Firm
Position, Title or Relationship: Dual employee. Investment Advisor Representative
Approximate number of hours: Full time. Time split 50/50 between Muriel Siebert & Co., LLC and Siebert AdvisorNxt, LLC, subject to monthly change
Compensation at both entities paid by same parent company, Siebert Financial Corporation as both are under common ownership and control of parent company.



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	5

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 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: STOCKCROSS FINANCIAL SERVICES, INC.

Allegations: CUSTOMER ALLEGES THAT FOR ONE SECURITY PURCHASED ON JULY 25, 2008, THE REPRESENTATIVE DID NOT PROVIDE SUFFICIENT INFORMATION REGARDING THE PRODUCT. CLIENT PURCHASED A STRUCTURED NOTE LINKED TO CHESAPEAKE ENERGY IN JULY 2008, AND ON MATURITY OCTOBER 31, 2008, RECEIVED INTEREST PLUS STOCK. THE STOCK WAS VALUED AT LESS THAN THE PRINCIPAL AMOUNT INVESTED AT THE TIME THAT IT WAS KNOCKED IN. CLIENT ALLEGES HE DID NOT KNOW THAT THIS WAS A POSSIBLE RISK OF PURCHASING THE NOTE.

Product Type: Other: STRUCTURED PRODUCT

Alleged Damages: \$23,680.35

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 14-01696

Filing date of arbitration/CFTC reparation or civil litigation: 09/02/2014

**Customer Complaint Information**

Date Complaint Received: 09/02/2014
Complaint Pending? No
Status: Withdrawn
Status Date: 12/04/2014
Settlement Amount: \$18,000.00
Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA
Docket/Case #: 14-01696
Date Notice/Process Served: 09/02/2014
Arbitration Pending? No
Disposition: Settled
Disposition Date: 12/04/2014
Monetary Compensation Amount: \$18,000.00
Individual Contribution Amount: \$0.00

Broker Statement THE ALLEGATION IS BASELESS AND WITHOUT MERIT. THE CUSTOMER WAS ACTIVELY INVOLVED IN THE SELECTION OF EVERY INVESTMENT AND FULLY INFORMED ON ALL DETAILS. CLAIMANT WITHDREW THEIR CASE AGAINST REGISTERED REP. THE CASE WAS SUBSEQUENTLY SETTLED WITH STOCKCROSS FINANCIAL SERVICES

Disclosure 2 of 5

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: TD WATERHOUSE INVESTOR SERVICES, INC.

Allegations: CUSTOMER ALLEGES MISREPRESENTATION IN THE PURCHASE OF 830,000 GOVERNMENT NATL MTG ASSN CTD REMIC PASS THRU SECS REMIC TR DUE 3/20/99 6.5%, FROM MARCH 1999.

Product Type: Debt - Government
Alleged Damages: \$225,000.00

Customer Complaint Information

Date Complaint Received: 05/03/2000
Complaint Pending? No
Status: Closed/No Action
Status Date: 06/20/2005

**Settlement Amount:****Individual Contribution Amount:****Disclosure 3 of 5****Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:****Allegations:** CUSTOMER ALLEGES REGISTERED REPRESENTATIVE FAILED TO MAKE FULL AND COMPLETE DISCLOSURE OF MATERIAL FACTS RELATING TO MARCH 1999 PURCHASE TOTALING \$92,250.00 OF GOV'T NATL, MTG. ASSN GTD REMIC PASS THRU SECS REMIC TR DUE 3/20/2029. CUSTOMER CLAIMS REIMBURSEMENT OF TOTAL PURCHASE PRICE PLUS INTEREST.**Product Type:****Alleged Damages:** \$92,250.00**Customer Complaint Information****Date Complaint Received:** 05/24/1999**Complaint Pending?** No**Status:** Settled**Status Date:** 06/22/1999**Settlement Amount:****Individual Contribution Amount:****Broker Statement** THE TRADE WAS CANCELLED. BROKER DENIES ALLEGATIONS IN THEIR ENTIRETY. AS AN ACCOMMODATION TO THE CUSTOMER, THE TRADE WAS CANCELLED 6/22/99.**Disclosure 4 of 5****Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:****Allegations:** CLAIMANT ALLEGES MISREPRESENTATION, IMPROPER DISCLOSURE, AND FRAUD IN SALES OF VARIOUS ALLEGEDLY UNSUITABLE CORPORATE BONDS AND SEEKS DAMAGES OF APPROXIMATELY \$167,000.**Product Type:****Alleged Damages:** \$167,000.00**Customer Complaint Information****Date Complaint Received:** 06/17/1998**Complaint Pending?** No**Status:** Closed/No Action



Status Date:

Settlement Amount:

Individual Contribution Amount:

Broker Statement

PENDING
THE ALLEGATIONS ARE COMPLETELY FALSE. I HAVE KNOWN THE CLIENT FOR 10 YEARS. THE CLIENT HAS PURCHASED HIGH YIELD INVESTMENTS FOR THE LAST 6 TO 7 YEARS. I MADE THE CLIENT FULLY AWARE OF THE RISKS, MARKET CONDITIONS, AND CURRENT NEWS AS IT BECAME AVAILABLE.

Disclosure 5 of 5

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

Allegations:

CLAIMANT ALLEGES IMPROPER DISCLOSURE IN SALE OF ALLEGEDLY UNSUITABLE CORPORATE BONDS AND CLAIMS DAMAGES OF \$25,000.

Product Type:

Alleged Damages:

\$25,000.00

Customer Complaint Information

Date Complaint Received:

01/18/1998

Complaint Pending?

No

Status:

Closed/No Action

Status Date:

Settlement Amount:

Individual Contribution Amount:

Broker Statement

PENDING
THE ALLEGATIONS ARE COMPLETELY FALSE. THE CLIENT WAS ACCUSTOMER TO TRADING HIGH RISK INVESTMENTS INCLUDING BONDS AND OPTIONS. HE WANTED TO BE MORE AGGRESSIVE AND HENCE PRUCHASED THESE INVESTMENTS ON MARGIN. I ALWAYS KEPT THE CLIENT ABREAST OF MARKET NEWS AND CONDITIONS.



End of Report

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