IAPD Report

EDWIN RODRIGUEZ

CRD# 1952747

Section Title	Page(s)

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

EDWIN RODRIGUEZ (CRD# 1952747)

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 **11/14/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	06/01/2009
IA	MORGAN STANLEY	CRD# 149777	05/18/2020

QUALIFICATIONS

This representative is currently registered in **4** 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
B	MORGAN STANLEY & CO. INCORPORATED	8209	NEW YORK, NY	04/02/2007 - 06/01/2009
B	MORGAN STANLEY DW INC.	7556	NEW YORK, NY	08/23/2001 - 04/02/2007
IA	MORGAN STANLEY	7556	NEW YORK, NY	12/16/2002 - 02/28/2005

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
Regulatory Event	1
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 **31** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MORGAN STANLEY**

Main Address: 2000 WESTCHESTER AVENUE
PURCHASE, NY 10577-2530

Firm ID#: 149777

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/01/2009
B	NYSE American LLC	General Securities Representative	Approved	06/17/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	06/01/2009
B	New York Stock Exchange	General Securities Representative	Approved	06/01/2009
B	Alabama	Agent	Approved	08/05/2016
B	Alaska	Agent	Approved	01/16/2018
B	Arizona	Agent	Approved	02/23/2021
B	California	Agent	Approved	06/01/2009
B	Colorado	Agent	Approved	03/10/2020
B	Connecticut	Agent	Approved	06/01/2009
B	Delaware	Agent	Approved	06/01/2009
B	District of Columbia	Agent	Approved	11/17/2021
B	Florida	Agent	Approved	06/01/2009

Qualifications

	Regulator	Registration	Status	Date
B	Georgia	Agent	Approved	06/24/2009
B	Illinois	Agent	Approved	06/01/2009
B	Kentucky	Agent	Approved	09/26/2018
B	Maryland	Agent	Approved	01/21/2020
B	Massachusetts	Agent	Approved	06/01/2009
B	Michigan	Agent	Approved	09/16/2014
B	Nevada	Agent	Approved	01/19/2022
B	New Hampshire	Agent	Approved	03/08/2023
B	New Jersey	Agent	Approved	06/01/2009
B	New Mexico	Agent	Approved	03/08/2018
B	New York	Agent	Approved	06/01/2009
IA	New York	Investment Adviser Representative	Approved	02/17/2022
B	North Carolina	Agent	Approved	01/17/2018
B	Ohio	Agent	Approved	01/07/2021
B	Oregon	Agent	Approved	01/17/2013
B	Pennsylvania	Agent	Approved	06/01/2009
B	Puerto Rico	Agent	Approved	03/20/2020
B	Rhode Island	Agent	Approved	10/30/2009
B	South Carolina	Agent	Approved	08/25/2015

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	06/01/2009
IA	Texas	Investment Adviser Representative	Restricted Approval	05/18/2020
B	Utah	Agent	Approved	01/06/2022
B	Washington	Agent	Approved	03/24/2017
B	Wisconsin	Agent	Approved	08/26/2020

Branch Office Locations

MORGAN STANLEY
55 East 52nd Street
12th Floor
New York, NY 10055

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	Futures Managed Funds Examination (S31)	Series 31	10/05/2004
B	General Securities Representative Examination (S7)	Series 7	04/18/1991

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/17/2022
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/02/1990

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.

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	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	NEW YORK, NY
B	08/23/2001 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	NEW YORK, NY
IA	12/16/2002 - 02/28/2005	MORGAN STANLEY	CRD# 7556	NEW YORK, NY
B	01/09/2001 - 08/31/2001	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	11/08/1999 - 01/16/2001	ING BARINGS LLC	CRD# 6540	NEW YORK, NY
B	11/11/1998 - 11/09/1999	PUNK, ZIEGEL & COMPANY, L.P.	CRD# 26174	NEW YORK, NY
B	01/10/1997 - 11/10/1998	JWGENESIS SECURITIES, INC.	CRD# 33832	BOCA RATON, FL
B	08/16/1991 - 12/20/1996	LADENBURG, THALMANN & CO., INC.	CRD# 505	NEW YORK, NY
B	06/10/1991 - 08/14/1991	BISHOP, ROSEN & CO., INC.	CRD# 1248	NEW YORK, NY
B	04/19/1991 - 06/14/1991	FIRST ALBANY CORPORATION	CRD# 298	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
01/2015 - Present	MORGAN STANLEY PRIVATE BANK, N.A.	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - Present	MORGAN STANLEY SMITH BARNEY LLC	FINANCIAL ADVISOR	Y	NEW YORK, NY, 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.

No information reported.

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
Regulatory Event	1
Customer Dispute	3

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Date Initiated:	04/20/2005
Docket/Case Number:	C10050020
Employing firm when activity occurred which led to the regulatory action:	ING BARINGS, LLC
Product Type:	No Product
Allegations:	NASD RULE 2110 - RESPONDENT, WIHTOUT HIS MEMBER FIRM'S KNOWLEDGE, SENT A LETTER TO A PUBLIC CUSTOMER CONCERNING A TRANSACTION IN CUSTOMER'S ACCOUNT THAT WAS NOT ON FIRM LETTERHEAD AND WAS NOT MADE AVAILABLE FOR SUPERVISORY REVIEW PREVENTING HIS FIRM FROM DISCHARGING ITS OBLIGATION UNDER NASD RULE 3010(D)(2).
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No

Resolution Date:	04/20/2005
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Regulator Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RODRIGUEZ CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS AND FINED $10,000. THE SUSPENSION WILL BEGIN JUNE 6, 2005 AND CONCLUDE JUNE 17, 2005. FINES PAID.

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	RELIEF SOUGHT
Date Initiated:	04/20/2005
Docket/Case Number:	C10050020
Employing firm when activity occurred which led to the regulatory action:	ING BARINGS, LLC
Product Type:	No Product
Other Product Type(s):	
Allegations:	NAD RULE 2110-RESPONDENT, WITHOUT HIS MEMBER FIRM'S KNOWLEDGE, SENT A LETTER TO A PUBLIC CUSTOMER CONCERNING A TRANSACTION IN CUSTOMER'S ACCOUNT THAT WAS NOT ON FIRM LETTERHEAD AND WAS NOT MADE AVAILABLE FOR SUPERVISORY REVIEW PREVENTING HIS FIRM FROM DISCHARGING ITS OBLIGATION UNDER NASD RULE 3010 (D)(2).
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	04/20/2005
Sanctions Ordered:	Monetary/Fine $10,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RODRIGUEZ CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS AND FINED $10,000.THE SUSPENSION WILL BEGIN JUNE 6, 2005 AND CONCLUDE JUNE 17, 2005.

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:	MORGAN STANLEY SMITH BARNEY
Allegations:	CLAIMANT ALLEGES, INTER ALIA, THAT IN 2007 THE FINANCIAL ADVISOR MADE UNSUITABLE INVESTMENTS IN HER ACCOUNT.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$45,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	12-04120
Filing date of arbitration/CFTC reparation or civil litigation:	12/03/2012

Customer Complaint Information

Date Complaint Received:	12/13/2012
Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date:	05/21/2013
Settlement Amount:	$64,854.14
Individual Contribution Amount:	$0.00
Broker Statement	I VEHEMENTLY DISAGREE WITH THIS DECISION, WHICH WAS RENDERED OVER A SINGLE INVESTMENT IN A WELL-DIVERSIFIED PORTFOLIO. THIS WAS AN INVESTMENT THAT WAS ADVERSELY AFFECTED BY THE FINANCIAL CRISIS OF 2008.

Disclosure 2 of 3

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY DW INC.
Allegations:	CLIENT CLAIMS FINANCIAL ADVISOR ALLEGEDLY FAILED TO EXECUTE CALLS INVOLVING MSTR STOCK ON MAY 9, 2006 AND ALSO ALLEGEDLY FAILED TO HONOR REPRESENTATIONS ON COMMISSIONS.
Product Type:	Other
Other Product Type(s):	EQUITY - MICROSTRATEGY INC. (MSTR)
Alleged Damages:	$55,000.00

Customer Complaint Information

Date Complaint Received:	07/14/2006
Complaint Pending?	No
Status:	Denied
Status Date:	09/22/2006
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	LEGAL DEPARTMENT REVIEWED CLAIMS RAISED BY CUSTOMER AND DENIED THEM AS MERITLESS.

Disclosure 3 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ING BARINGS LLC, BD 6540
Allegations:	CUSTOMER ALLEGED THAT TWO UNAUTHORIZED TRADES WERE DONE IN HIS ACCOUNT, ON TRADE IN JUNE 2000 AND ONE TRADE IN AUGIST 2000.
Product Type:	Equity - OTC
Alleged Damages:	$127,000.00

Customer Complaint Information

Date Complaint Received:	11/30/2001
Complaint Pending?	No
Status:	Arbitration/Reparation Settled
Status Date:	12/30/2003
Settlement Amount:	$45,000.00
Individual Contribution Amount:	$25,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD 01-04694

Date Notice/Process Served:	11/30/2001
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/30/2003
Monetary Compensation Amount:	$45,000.00
Individual Contribution Amount:	$25,000.00
Firm Statement	NEITHER THE SETTLEMENT AGREEMENT, NOR ANYTHING CONTAINED THEREIN, SHALL BE CONSTRUED AS AN ADMISSION BY THE RESPONDENT THAT HE HAS IN ANY RESPECT VIOLATED OR ABRIDGED ANY FEDERAL, STATE OR LOCAL LAW OR ANY RIGHT OR OBLIGATION THAT HE MAY OWE OR MAY HAVE OWED TO CLAIMANTS. CLAIMANTS SHALL RETAIN SECURITIES WHICH WERE THE SUBJECT OF THE ARBITRATION.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ING BARINGS LLC, BD 6540
Allegations:	CUSTOMER ALLEGED THAT TWO UNAUTHORIZED TRADES WERE DONE IN HIS ACCOUNT, ONE TRADE IN JUNE 2000 AND ONE TRADE IN AUGIST 2000.
Product Type:	Equity - OTC
Alleged Damages:	$127,000.00

Customer Complaint Information

Date Complaint Received:	11/30/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	12/30/2003
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD 01-04694
Date Notice/Process Served:	11/30/2001
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/30/2003
Monetary Compensation Amount:	$45,000.00
Individual Contribution Amount:	$25,000.00

End of Report

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