



IAPD Report

MUZAFFAR MASHKOOR AHMED

CRD# 2091879

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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

MUZAFFAR MASHKOOR AHMED (CRD# 2091879)

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 **03/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NEWEDGE SECURITIES, LLC	CRD# 10674	09/16/2022
IA	NEW EDGE WEALTH	CRD# 307771	09/16/2022

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **9** 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	UBS FINANCIAL SERVICES INC.	8174	BEVERLY HILLS, CA	11/16/2012 - 09/27/2022
IA	UBS FINANCIAL SERVICES INC.	8174	BEVERLY HILLS, CA	11/16/2012 - 09/27/2022
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SANTA MONICA, CA	10/23/2009 - 11/19/2012

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
Judgment/Lien	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 **9** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **NEWEDGE SECURITIES, LLC**
Main Address: 1251 WATERFRONT PLACE
SUITE 510
PITTSBURGH, PA 15222-6368
Firm ID#: 10674

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/16/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	09/16/2022
B	California	Agent	Approved	09/16/2022
B	Massachusetts	Agent	Approved	10/27/2023
B	Minnesota	Agent	Approved	09/16/2022
B	New Mexico	Agent	Approved	09/16/2022
B	New York	Agent	Approved	09/16/2022
B	Oregon	Agent	Approved	09/16/2022
B	South Carolina	Agent	Approved	09/16/2022
B	Texas	Agent	Approved	09/16/2022
B	Washington	Agent	Approved	09/16/2022

Branch Office Locations

3701 Highland Ave. Suite 302



Qualifications

Manhattan Beach, CA 90266

Employment 2 of 2

Firm Name: **NEW EDGE WEALTH**
Main Address: 2200 ATLANTIC STREET
SUITE 200
STAMFORD, CT 06902
Firm ID#: 307771

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	09/16/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	09/16/2022

Branch Office Locations

NEW EDGE WEALTH
3071 Highland Ave, Suite 302
Manhattan Beach, CA 90266



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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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	11/21/1990
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	02/25/1998
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B Uniform Securities Agent State Law Examination (S63)	Series 63	01/29/1991
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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	11/16/2012 - 09/27/2022	UBS FINANCIAL SERVICES INC.	CRD# 8174	BEVERLY HILLS, CA
IA	11/16/2012 - 09/27/2022	UBS FINANCIAL SERVICES INC.	CRD# 8174	BEVERLY HILLS, CA
B	10/23/2009 - 11/19/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SANTA MONICA, CA
IA	10/23/2009 - 11/19/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SANTA MONICA, CA
B	07/12/1999 - 10/23/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	WEST LOS ANGELES, C
IA	05/12/1998 - 10/23/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	WEST LOS ANGELES, C
B	03/25/1997 - 07/12/1999	BA INVESTMENT SERVICES, INC.	CRD# 12965	OAKLAND, CA
B	02/02/1995 - 02/27/1997	GREAT WESTERN FINANCIAL SECURITIES CORPORATION	CRD# 14229	NORTHRIDGE, CA
B	01/03/1991 - 02/23/1994	MCLAUGHLIN, PIVEN, VOGEL SECURITIES, INC.	CRD# 7404	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
09/2022 - Present	NewEdge Securities, Inc	Registered Representative	Y	Pittsburgh, PA, United States
09/2022 - Present	NewEdge Wealth	Registered Investment Representative	Y	Stamford, CT, United States
11/2012 - 09/2022	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	BEVERLY HILLS, CA, United States



Registration & Employment History



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)3547 harvey ave / 3547 harvey ave cincinatti,ohio 45229 / Company/ Real Estate / real estate / Member of Board of Directors / / managing the llc / Start Date 12/1/14 /Cinci Living Apartments LLC / 851 Glenwood Avenue Cincinnati,Cincinnati, OH 45229 45229 / Other/ Limited liability cooperation Real Estate / Real estate investment / Proprietor / owner / / hiring the management company to manage. / Start Date 11/18/2017/43057 /
- 2)NewEdge Wealth, LLC, an IAR. Financial Advisor for investment related business for ultra-high net worth individuals. 120 hours a month during trading hours. Home office 2200 Atlantic Street, Stamford CT, 06902.Start Date: 09/16/2022
- 3.LionsStreet Private Client Group*Yes Invest*11/15/22*Austin, TX*Life Insurance*Agent*Life insurance*20 Hrs/20 non trade



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
Judgment/Lien	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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	BANC OF AMERICA INVESTMENT SERVICES, INC.
Allegations:	CLAIMANT ALLEGES REGISTERED REPRESENTATIVE FAILED TO FOLLOW INSTRUCTIONS TO LIQUIDATE EQUITIES IN MAY 2008. ALLEGED DAMAGES OF \$65,000.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$65,000.00
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 NORTHEAST REGIONAL OFFICE
Docket/Case #:	FINRA DR CASE NUMBER 09-04051
Filing date of arbitration/CFTC reparation or civil litigation:	08/13/2009

Customer Complaint Information

Date Complaint Received:	08/17/2009
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Complaint Pending?	No
Status:	Settled
Status Date:	12/14/2010
Settlement Amount:	\$14,999.00
Individual Contribution Amount:	\$0.00
Broker Statement	PLEASE NOTE THAT THE INSTRUCTIONS WERE SENT VIA MAIL BY THE CUSTOMER AND THE REGISTERED REPRESENTATIVE DID NOT RECEIVE THE CORRESPONDENCE.

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	BANC OF AMERICA INVESTMENT SERVICES, INC.
Allegations:	CUSTOMER ALLEGES THE FINANCIAL ADVISOR DID NOT UNDERSTAND HER NEED FOR SAFETY OF FUNDS AND PROVIDED POOR ADVICE TO BUY PREFERRED EQUITY IN NOVEMBER 2006 AND AGAIN IN MID 2008. COMPENSATORY DAMAGES UNSPECIFIED.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	11/24/2008
Complaint Pending?	No
Status:	Denied
Status Date:	03/16/2009
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	BANC OF AMERICA INVESTMENT SERVICES, INC.
Allegations:	CLIENT CLAIMS THAT LOSS OF GUARANTEED DEATH BENEFIT WAS NOT DISCLOSED TO HER WHEN ANNUITY POLICY WAS REDEEMED IN JUNE 2005.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$17,000.00

Customer Complaint Information

Date Complaint Received:	07/14/2005
Complaint Pending?	No



Status:	Settled
Status Date:	08/31/2005
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00
Broker Statement	CLIENT WAS PERMITTED TO REINSTATE PREVIOUS POLICY (WITH DEATH BENEFIT) AT NO PENALTY.



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	STATE OF CALIFORNIA FILED IN LOS ANGELES, CA,
Judgment/Lien Amount:	\$169,722.73
Judgment/Lien Type:	Tax
Date Filed with Court:	09/23/2024
Date Individual Learned:	09/24/2024
Type of Court:	State Court
Name of Court:	STATE OF CALIFORNIA
Location of Court:	LOS ANGELES, CA,
Docket/Case #:	20240644761
Judgment/Lien Outstanding?	Yes
Broker Statement	Mr. Ahmed just was informed of this lien and is working with his CPA to resolve.



End of Report

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