IAPD Report

ALESSANDRO SPINETTA

CRD# 2235663

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

ALESSANDRO SPINETTA (CRD# 2235663)

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 **06/27/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	06/01/2009
IA	MORGAN STANLEY	CRD# 149777	06/27/2016

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **33** 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	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY	02/03/1999 - 06/01/2009
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	05/01/1992 - 02/11/1999

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	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 **33** 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	09/16/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	06/01/2009
B	New York Stock Exchange	General Securities Representative	Approved	06/01/2009
B	Arizona	Agent	Approved	08/05/2025
B	California	Agent	Approved	06/01/2009
B	Colorado	Agent	Approved	07/28/2020
B	Connecticut	Agent	Approved	06/01/2009
IA	Connecticut	Investment Adviser Representative	Approved	06/27/2016
B	Delaware	Agent	Approved	03/31/2021
B	District of Columbia	Agent	Approved	02/08/2010
B	Florida	Agent	Approved	06/01/2009
B	Georgia	Agent	Approved	10/04/2013

Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	07/16/2021
B	Iowa	Agent	Approved	06/04/2021
B	Kansas	Agent	Approved	10/13/2020
B	Maryland	Agent	Approved	06/01/2009
B	Massachusetts	Agent	Approved	11/15/2017
B	Michigan	Agent	Approved	03/20/2024
B	Minnesota	Agent	Approved	09/30/2020
B	Missouri	Agent	Approved	06/01/2023
B	Nebraska	Agent	Approved	10/25/2023
B	Nevada	Agent	Approved	11/29/2021
B	New Hampshire	Agent	Approved	01/25/2019
B	New Jersey	Agent	Approved	06/01/2009
B	New York	Agent	Approved	06/01/2009
IA	New York	Investment Adviser Representative	Approved	06/16/2021
B	North Carolina	Agent	Approved	07/15/2022
B	Ohio	Agent	Approved	05/14/2020
B	Oregon	Agent	Approved	03/13/2020
B	Pennsylvania	Agent	Approved	06/01/2009
IA	Pennsylvania	Investment Adviser Representative	Approved	07/07/2022

Qualifications

	Regulator	Registration	Status	Date
B	Puerto Rico	Agent	Approved	05/06/2021
B	South Carolina	Agent	Approved	06/16/2022
B	Tennessee	Agent	Approved	11/29/2022
B	Texas	Agent	Approved	06/01/2009
IA	Texas	Investment Adviser Representative	Restricted Approval	04/15/2020
B	Virginia	Agent	Approved	06/01/2009
B	Washington	Agent	Approved	06/01/2009
B	West Virginia	Agent	Approved	04/07/2020
B	Wisconsin	Agent	Approved	02/27/2013

Branch Office Locations

MORGAN STANLEY
RADNOR, PA

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	National Commodity Futures Examination (S3)	Series 3	06/20/1992
B	General Securities Representative Examination (S7)	Series 7	04/18/1992

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	06/25/2016
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/16/1995

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	02/03/1999 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	05/01/1992 - 02/11/1999	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
01/2015 - Present	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - Present	MORGAN STANLEY SMITH BARNEY	FA, ICA	Y	NEW YORK, NY, United States
02/1999 - Present	CITIGROUP GLOBAL MARKETS INC.	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	1

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:	Individual
Regulatory Action Initiated By:	Chicago Mercantile Exchange
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Date Initiated:	02/28/2025
Docket/Case Number:	CME 23-1695-BC
Employing firm when activity occurred which led to the regulatory action:	Morgan Stanley Smith Barney LLC
Product Type:	Other: Currency Futures
Allegations:	The Panel of the Chicago Mercantile Exchange ("CME") Business Conduct Committee found that the representative entered buy and sell orders in currency futures for accounts with common beneficial ownership for the legitimate purpose of hedging the currency exposure in each. However, the Panel found that the orders traded against each other in part, and the representative knew or reasonably should have known that the execution of the orders would achieve a wash result, in violation of CME Rule 534.
Current Status:	Final
Resolution:	Decision

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:	02/28/2025
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension Other: n/a
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	Direct or indirect access to certain markets and trading floors owned or controlled by CME Group
Duration:	Five days
Start Date:	02/28/2025
End Date:	03/06/2025
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$30,000.00
Portion Levied against individual:	$30,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	03/10/2025
Was any portion of penalty waived?	No
Amount Waived:	

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 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	
Allegations:	BREACH OF FIDUCIARY DUTY; BREACH OF CONTRACT; NEGLIGENCE; GROSS NEGLIGENCE; FRAUD
Product Type:	Equity Listed (Common & Preferred Stock) Options
Alleged Damages:	$1,200,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #09-05496
Date Notice/Process Served:	09/21/2009
Arbitration Pending?	No
Disposition:	Stipulated Award
Disposition Date:	03/01/2011
Disposition Detail:	ALESSANDRO SPINETTA WAS A SUBJECT OF THE CUSTOMER'S STATEMENT OF CLAIM FOR THIS ARBITRATION ALLEGING THAT HE ALONG WITH HIS MEMBER FIRM CONTRIBUTED TO THE SALES PRACTICE VIOLATION(S). ACCORDINGLY, SPINETTA'S MEMBER FIRM IS LIABLE FOR COMPENSATORY DAMAGES IN THE AMOUNT OF $600,000 ON THE CLAIMS ASSERTED IN THE STATEMENT OF CLAIM.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS, INC.
Allegations:	CLAIMANTS ALLEGE, INTER ALIA, THAT BEGINNING IN MARCH OF 2007 THE FINANCIAL ADVISOR MADE UNAUTHORIZED TRADES IN THEIR ACCOUNT.
Product Type:	Equity Listed (Common & Preferred Stock) Options
Alleged Damages:	$1,200,000.00
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 #:	09-05496
Filing date of arbitration/CFTC reparation or civil litigation:	09/21/2009

Customer Complaint Information

Date Complaint Received:	10/20/2009
Complaint Pending?	No
Status:	Settled
Status Date:	03/01/2011
Settlement Amount:	$600,000.00
Individual Contribution Amount:	$0.00
Broker Statement	MY FIRM CHOSE ON ITS OWN TO SETTLE THIS CASE. I WAS NOT ASKED TO CONTRIBUTE TOWARD THE SETTLEMENT. I STRONGLY DENY ALL CLAIMANT'S ALLEGATIONS OF WRONGDOING.

End of Report

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