



IAPD Report

JORGE ALEJANDRO CALLEJA

CRD# 3141733

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7
Disclosure Information	8

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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

JORGE ALEJANDRO CALLEJA (CRD# 3141733)

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 **04/25/2025**.

CURRENT EMPLOYERS

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

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **53** 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	NAPLES, FL	04/02/2007 - 06/01/2009
IA	MORGAN STANLEY & CO. INCORPORATED	8209	NAPLES, FL	04/02/2007 - 06/01/2009
IA	MORGAN STANLEY	7556	NAPLES, FL	12/10/1998 - 04/02/2007

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
Criminal	3
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 **53** 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	10/19/2010
B	Alaska	Agent	Approved	10/30/2023
B	Arizona	Agent	Approved	08/09/2011
B	Arkansas	Agent	Approved	01/31/2023
B	California	Agent	Approved	06/01/2009
B	Colorado	Agent	Approved	06/01/2009
B	Connecticut	Agent	Approved	06/01/2009
B	Delaware	Agent	Approved	06/01/2009
B	District of Columbia	Agent	Approved	06/01/2009



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	06/01/2009
IA Florida	Investment Adviser Representative	Approved	06/01/2009
B Georgia	Agent	Approved	06/01/2009
B Hawaii	Agent	Approved	04/28/2025
B Idaho	Agent	Approved	02/09/2023
B Illinois	Agent	Approved	06/01/2009
B Indiana	Agent	Approved	06/01/2009
B Iowa	Agent	Approved	06/01/2009
B Kansas	Agent	Approved	02/09/2023
B Kentucky	Agent	Approved	02/08/2018
B Louisiana	Agent	Approved	02/10/2023
B Maine	Agent	Approved	06/01/2009
B Maryland	Agent	Approved	06/01/2009
B Massachusetts	Agent	Approved	06/01/2009
B Michigan	Agent	Approved	06/01/2009
B Minnesota	Agent	Approved	06/01/2009
B Mississippi	Agent	Approved	02/09/2023
B Missouri	Agent	Approved	06/01/2009
B Montana	Agent	Approved	02/14/2023



Qualifications

Regulator	Registration	Status	Date
B Nebraska	Agent	Approved	06/01/2009
B Nevada	Agent	Approved	06/01/2009
B New Hampshire	Agent	Approved	06/01/2009
B New Jersey	Agent	Approved	06/01/2009
B New Mexico	Agent	Approved	06/01/2009
B New York	Agent	Approved	06/01/2009
B North Carolina	Agent	Approved	06/01/2009
B North Dakota	Agent	Approved	04/28/2025
B Ohio	Agent	Approved	06/01/2009
B Oklahoma	Agent	Approved	06/01/2009
IA Oklahoma	Investment Adviser Representative	Approved	06/01/2009
B Oregon	Agent	Approved	06/01/2009
B Pennsylvania	Agent	Approved	06/01/2009
B Puerto Rico	Agent	Approved	06/01/2009
B Rhode Island	Agent	Approved	06/01/2009
B South Carolina	Agent	Approved	06/01/2009
B South Dakota	Agent	Approved	10/25/2023
B Tennessee	Agent	Approved	02/08/2021
B Texas	Agent	Approved	06/01/2009



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	06/01/2009
B Utah	Agent	Approved	10/25/2023
B Vermont	Agent	Approved	06/01/2009
B Virgin Islands	Agent	Approved	04/29/2025
B Virginia	Agent	Approved	06/01/2009
B Washington	Agent	Approved	06/30/2009
B West Virginia	Agent	Approved	10/16/2020
B Wisconsin	Agent	Approved	06/01/2009
B Wyoming	Agent	Approved	02/14/2023

Branch Office Locations

MORGAN STANLEY
8889 Pelican Bay Boulevard
Suite 300
Naples, FL 34108



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
 Futures Managed Funds Examination (S31)	Series 31	10/06/2004
 General Securities Representative Examination (S7)	Series 7	12/03/1998

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	12/23/1998
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/14/1998

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	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	NAPLES, FL
IA	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	NAPLES, FL
IA	12/10/1998 - 04/02/2007	MORGAN STANLEY	CRD# 7556	NAPLES, FL
B	12/08/1998 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	NAPLES, FL

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	Mass Transfer	Y	NAPLES, FL, United States
01/2015 - 05/2020	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	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.

1. TO SERVE AS A COMMITTEE MEMBER WITH THE SHELTER FOR ABUSED WOMEN AND CHILDREN.



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
Criminal	3
Customer Dispute	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 3

Reporting Source:	Individual
Court Details:	THE CIRCUIT COURT IN AND FOR ALACHUA COUNTY EIGHTH JUDICIAL DISTRICT - GAINESVILLE FLORIDA 953142 MMA
Charge Date:	03/21/1995
Charge Details:	THAT THE DEFENDANT ENTERED THE STORE AND AFTER MAKING A PURCHASE WALKED OUT OF THE STORE WITH 2 PAIRS OF BOXER SHORTS. APPROXIMATE VALUE OF THE SHORTS WAS \$25 PETIT THEFT - MISDEMEANOR CHARGE
Felony?	No
Current Status:	Final
Status Date:	04/05/1995
Disposition Details:	ADJUDICATION WAS WITHHELD ON THIS MISDEMEANOR, AND I WAS REQUIRED TO PAY A FINE TOTALING \$158. GIVEN NON-REPORTING PROBATION FOR 6 MONTHS AND COMPLETED SUCCESSFULLY.
Broker Statement	THIS OCCURRED BECAUSE I WALKED INTO THE STORE AND WALKED OUT WITH TWO PAIRS OF BOXER SHORTS. IT WAS A STUPID THING TO DO, AND IT HAPPENED BECAUSE AT THE TIME I LACKED A BIT OF MATURITY. TO AVOID ANY FURTHER PROBLEMS I WAS VERY CANDID WITH THE COURTS AND DECIDED TO PLEAD NO CONTEST AND PAY THE FINE.

Disclosure 2 of 3

Reporting Source:	Individual
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Court Details:	THE CIRCUIT COURT IN AND FOR ALACHUA COUNTY EIGHTH JUDICIAL DISTRICT GAINESVILLE, FLORIDA 95-14981 - 95-2652CFB
Charge Date:	08/09/1995
Charge Details:	THAT THE DEFENDANTS SAW THE VICTIM'S CAR WITH THE WINDOW OPEN, AND WHILE THE CO-DEFENDANT PROCEEDED TO REMOVE A BACKPACK FROM THE CAR THAT THE DEFENDANT MOVED HIS VEHICLE SO THAT IT WOULD ALLOW FOR AN ESCAPE ROUTE. THE CO-DEF LEFT THE SCENE WITH THE DEFENDANT AND THE TAG WAS RECORDED. THE BACKPACK CONTAINED A BOOK & CALCULATOR. CHARGE: BURGLARY CONVEYANCE FELONY CHARGE
Felony?	Yes
Current Status:	Final
Status Date:	04/30/1997
Disposition Details:	THE FELONY CHARGE WAS NOLLE PROSEQUI. THERE WAS A \$25 FINE AND A REQUIREMENT TO PERFORM 50 HOURS OF COMMUNITY SERVICE PROOF OF COMPLETION AVAILABLE UPON REQUEST. GIVEN PRE-TRIAL DIVERSION PROGRAM AND COMPLETED SUCCESSFULLY.
Broker Statement	I WAS TAKING MY ROOMMATE TO THE MALL WHEN HE ASKED ME TO STOP, AND JUMPED OUT OF THE CAR. WHEN I NOTICED HIM WALKING UP TO A PARKED CAR I DROVE AWAY TO AVOID WHATEVER HE WAS TRYING TO DO. AS I REACHED THE STOP SIGN HE MANAGED TO JUMP IN. I DROVE AWAY AND COVERED MY CAR UNTIL I COULD STRAIGHTEN THIS OUT. WHEN THE POLICE ARRIVED I EXPLAINED EVERYTHING AND THEY ARRESTED THE CO-DEFENDANT AND TOLD ME THAT I WOULD BE FINE. AT A LATER DATE WHEN I WAS PULLED OVER FOR A TRAFFIC VIOLATION THE OFFICER INFORMED ME THAT THERE WAS A WARRANT OUTSTANDING. TO AVOID THE HIGH COSTS OF LENGTHY TRAIL I VOLUNTEERED TO TAKE PART IN A PRE-TRAIL INTERVENTION PROGRAM WHICH RESULTED IN THE CHARGES NOT BEING PERSUED.
Disclosure 3 of 3	
Reporting Source:	Individual
Court Details:	THE CIRCUIT COURT IN AND FOR ALACHUA COUNTY 8TH JUDICIAL CIRCUIT. GAINESVILLE, FLORIDA 95-04373
Charge Date:	02/26/1995
Charge Details:	THE ALLEGATIONS ARE THAT THE CO-DEFENDANT UNLOCKED THE DOOR OF A PARKED JEEP, AND UPON BEING SEEN BY THE VICTIM FLED THE SCENE IN MY CAR CHARGE: BURGLARY - FELONY
Felony?	Yes
Current Status:	Final
Status Date:	03/16/1995
Disposition Details:	THE CASE WAS DISMISSED ON THIS FELONY CHARGE. THERE WAS NO FINE, SUSPENSIONS OR RESTRICTIONS.



Broker Statement

IN THIS INCIDENT I WAS LOOKING FOR A PARKING SPOT WHEN I NOTICED A JEEP WRANGLER SIMILAR TO MY OWN THAT HAD A SET OF RIMS THAT I WAS CONSIDERING PURCHASING. I MENTIONED THIS TO THE PASSENGER IN MY CAR. HE THEN EXITED THE VEHICLE TO SEE WHAT THEY LOOKED LIKE TO GIVE ME HIS OPINION ON THEM. WHEN THREE MEN BEGAN YELLING AT HIM, HE RETURNED TO THE CAR AND TOLD ME THAT SOME PEOPLE WERE RUNNING TOWARDS US SO I DROVE AWAY. LATER THAT NIGHT THE POLICE ARRIVED AND INFORMED US THAT THE OWNERS OF THE JEEP HAD CLAIMED THEIR CAR DOOR WAS OPEN. AS A POINT OF INFORMATION I PURCHASED THE RIMS SHORTLY THEREAFTER.



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: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY & CO., INC.

Allegations: CUSTOMER CLAIMS THAT SINCE 2003, FINANCIAL ADVISOR ALLEGEDLY VIOLATED AN ACCOUNT FEE AGREEMENT & MISREPRESENTED FEES THAT WOULD BE CHARGED FOR HANDLING ACCOUNTS.

Product Type: Other

Other Product Type(s): CHOICE ACCOUNTS- SELF DIRECTED FEE BASED A/C

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 01/22/2008

Complaint Pending? No

Status: Denied

Status Date: 04/03/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement ALLEGED COMPENSATORY DAMAGE AMOUNT ESTIMATED TO BE MORE THAN \$5,000.



End of Report

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