



## IAPD Report

# JOHN ROBERT MONGOLD

CRD# 3212625

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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

### JOHN ROBERT MONGOLD (CRD# 3212625)

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 **07/31/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	MORGAN STANLEY	CRD# 149777	05/30/2024
<b>IA</b>	MORGAN STANLEY	CRD# 149777	06/04/2024

### QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **26** 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>B</b>	M&T SECURITIES, INC.	17358	BALTIMORE, MD	07/28/2015 - 06/09/2021
<b>IA</b>	M&T SECURITIES, INC.	17358	Washington, DC	06/08/2015 - 06/09/2021
<b>IA</b>	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	EDISON, NJ	09/12/2012 - 11/21/2013

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?

**No**



## 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 **26** 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>B</b>	FINRA	General Securities Representative	Approved	05/30/2024
<b>B</b>	NYSE American LLC	General Securities Representative	Approved	05/30/2024
<b>B</b>	Nasdaq Stock Market	General Securities Representative	Approved	05/30/2024
<b>B</b>	New York Stock Exchange	General Securities Representative	Approved	05/30/2024
<b>B</b>	Alabama	Agent	Approved	07/22/2025
<b>B</b>	Arizona	Agent	Approved	07/29/2025
<b>B</b>	California	Agent	Approved	06/05/2024
<b>B</b>	Colorado	Agent	Approved	07/02/2024
<b>B</b>	Connecticut	Agent	Approved	06/05/2024
<b>B</b>	Delaware	Agent	Approved	07/22/2025
<b>IA</b>	District of Columbia	Investment Adviser Representative	Approved	06/04/2024
<b>B</b>	District of Columbia	Agent	Approved	06/05/2024
<b>B</b>	Florida	Agent	Approved	06/05/2024



## Qualifications

	Regulator	Registration	Status	Date
B	Georgia	Agent	Approved	07/22/2025
B	Illinois	Agent	Approved	07/21/2025
B	Kentucky	Agent	Approved	07/21/2025
B	Louisiana	Agent	Approved	08/01/2025
B	Maryland	Agent	Approved	07/02/2024
B	Massachusetts	Agent	Approved	07/01/2024
B	Missouri	Agent	Approved	08/01/2025
B	New Jersey	Agent	Approved	11/11/2024
B	New York	Agent	Approved	07/02/2024
B	North Carolina	Agent	Approved	07/02/2024
B	Ohio	Agent	Approved	07/22/2025
B	Pennsylvania	Agent	Approved	07/01/2024
B	South Carolina	Agent	Approved	06/24/2024
B	Tennessee	Agent	Approved	07/22/2025
B	Texas	Agent	Approved	07/21/2025
IA	Texas	Investment Adviser Representative	Approved	07/25/2025
B	Utah	Agent	Approved	07/22/2025
B	Virginia	Agent	Approved	07/02/2024
IA	Virginia	Investment Adviser Representative	Approved	07/02/2024



Qualifications

Regulator	Registration	Status	Date
<div>B</div> Wisconsin	Agent	Approved	08/06/2025

Branch Office Locations

**MORGAN STANLEY**  
1747 Pennsylvania Ave  
Nw Ste 900  
Washington, DC 20006



## 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, 4 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> General Securities Representative Examination (S7TO)	Series 7TO	02/11/2024
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	09/04/2012
<b>B</b> PCX Market Maker Exam (S44)	Series 44	03/24/2009

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	05/13/2024



### 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	07/28/2015 - 06/09/2021	M&T SECURITIES, INC.	CRD# 17358	BALTIMORE, MD
IA	06/08/2015 - 06/09/2021	M&T SECURITIES, INC.	CRD# 17358	Washington, DC
IA	09/12/2012 - 11/21/2013	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	EDISON, NJ
B	09/05/2012 - 11/21/2013	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	EDISON, NJ
B	04/03/2009 - 09/08/2010	GROUP ONE TRADING, L.P.	CRD# 37484	CHICAGO, IL
B	04/20/2006 - 10/02/2007	GROUP ONE TRADING, L.P.	CRD# 37484	CHICAGO, IL
B	02/24/2000 - 08/10/2000	FOLIO[FN] INVESTMENTS, INC.	CRD# 48015	MCLEAN, VA
B	05/11/1999 - 02/16/2000	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	05/11/1999 - 02/16/2000	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

### 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
06/2024 - Present	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
05/2024 - Present	MORGAN STANLEY SMITH BARNEY LLC	PRIVATE WEALTH ADVISOR	Y	WASHINGTON, DC, United States
02/2014 - 05/2024	WILMINGTON TRUST	INVESTMENT ADVISOR	Y	BALTIMORE, MD, 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.

\*596810 - George Mason University Honors College Advisory Board; Investment Related - No; Fairfax, Virginia; Public Schools; Advisory Board(Proprietor, Partner, Officer, Director, Employee, Trustee, Agent); 08/2019; During Business Hours: 2; After Business Hours: 3; Fundraising

\*633405 - AFCEA; Investment related: No; Fairfax; Virginia; Technology, Consulting; Treasurer of Belvoir Chapter (Proprietor, Partner, Officer, Director, Employee, Trustee, Agent); 05/2025; During Business Hours: 1; After Business Hours: 9; Accounting/Bookkeeping



## End of Report

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