



IAPD Report

JOEL RONALD MOGY

CRD# 4393052

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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

JOEL RONALD MOGY (CRD# 4393052)

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 **07/30/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	JOEL R. MOGY INVESTMENT COUNSEL INC.	CRD# 111622	08/02/2021

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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
IA	JOEL R. MOGY INVESTMENT COUNSEL INC.	111622	BEVERLY HILLS, CA	11/13/2002 - 12/31/2006

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



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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **JOEL R. MOGY INVESTMENT COUNSEL INC.**
Main Address: 315 SOUTH BEVERLY DRIVE
SUITE 400
BEVERLY HILLS, CA 90212-4301
Firm ID#: 111622

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	08/02/2021

Branch Office Locations

JOEL R. MOGY INVESTMENT COUNSEL INC.
315 SOUTH BEVERLY DRIVE
SUITE 400
BEVERLY HILLS, CA 90212-4301



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.

No information reported.

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Analyst

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	11/13/2002 - 12/31/2006	JOEL R. MOGY INVESTMENT COUNSEL INC.	CRD# 111622	BEVERLY HILLS, CA

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
10/1980 - Present	JOEL R. MOGY INVESTMENT COUNSEL, INC.	PRESIDENT/FOUNDE R	Y	BEVERLY HILLS, CA, 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. Trustee Services; Investment Related; 315 S. Beverly Dr., Ste. 400, Beverly Hills, CA 90212; Serve as a Trustee for selected clients; Trustee; 1965 Start date; 5 hrs per month devoted; 2-5 hrs per month devoted during trading hours; Professional Fiduciary Services



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

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:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	CENSURE AND CIVIL PENALTIES
Date Initiated:	05/07/2001
Docket/Case Number:	RELS. #34-44268; IA-1941; FILE #3-10475
Employing firm when activity occurred which led to the regulatory action:	JOEL R. MOGY INVESTMENT COUNSEL, INC.
Product Type:	Other
Other Product Type(s):	EQUITY SECURITIES
Allegations:	+05/16/2001+ SEC ADMINISTRATIVE PROCEEDING RELEASE #34-44268, DATED 05/07/2001, DISCLOSES: THE SEC HAS INSTITUTED A PUBLIC ADMINISTRATIVE PROCEEDING PURSUANT TO SECTION 21C OF THE SECURITIES EXCHANGE ACT OF 1934 ("EXCHANGE ACT") AND SECTIONS 203(E), 203(F), AND 203(K) OF THE INVESTMENT ADVISERS ACT OF 1940 ("ADVISERS ACT") AGAINST JOEL R. MOGY ("MOGY" OR "RESPONDENT").
Current Status:	Final
Resolution:	Order
Resolution Date:	05/07/2001
Sanctions Ordered:	Cease and Desist/Injunction Censure Monetary/Fine \$12,500.00

**Other Sanctions Ordered:****Sanction Details:**

IT IS ORDERED THAT: (1) THE RESPONDENT BE, AND HEREBY IS, CENSURED; (2) THE RESPONDENT, PURSUANT TO SECTION 21C OF THE EXCHANGE ACT, SHALL CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATION AND ANY FUTURE VIOLATION OF SECTION 13(F)(1) OF THE EXCHANGE ACT AND RULE 13F-1 THEREUNDER; (3) THE RESPONDENT SHALL, WITHIN TEN DAYS OF THE DATE OF THIS ORDER, PAY A CIVIL PENALTY IN THE AMOUNT OF TWELVE THOUSAND FIVE HUNDRED DOLLARS (\$12,500) TO THE UNITED STATES TREASURY.

Regulator Statement

MOGY HAS SUBMITTED AN OFFER OF SETTLEMENT WITHOUT ADMITTING OR DENYING THE FINDINGS, EXCEPT THE JURISDICTION OF THE SEC, AND CONSENTED TO THE ENTRY OF THIS ORDER. THE SEC FINDS THAT: (1) MOGY IS PRESIDENT AND OWNER OF THE INVESTMENT ADVISER FIRM ("FIRM"). (2) ON THE LAST TRADING DAY OF 01/1993, MOGY, EXERCISED INVESTMENT DISCRETION WITH RESPECT TO ACCOUNTS THAT HELD IN EXCESS OF \$100 MILLION IN PUBLICLY TRADED EQUITY SECURITIES DESCRIBED IN EXCHANGE ACT RULE 13F-1(C) AS "SECT. 13(F) SECURITIES." THE FIRM'S HOLDINGS OF SECT. 13(F) SECURITIES IN DISCRETIONARY ACCOUNTS ALSO EXCEEDED \$100 MILLION ON THE LAST TRADING DAY OF JANUARY FOR EVERY YEAR FROM 1994 TO 2000. ON THE LAST TRADING DAY IN JANUARY 2000, THE FIRM'S HOLDINGS OF SECT. 13(F) SECURITIES IN DISCRETIONARY ACCOUNTS EXCEEDED \$700 MILLION. (3) PURSUANT TO THE PROVISIONS OF SECT. 13(F) OF THE EXCHANGE ACT AND RULE 13F-1 THEREUNDER, THE FIRM, THROUGH MOGY, WAS OBLIGATED TO FILE A FORM 13F DISCLOSING ITS HOLDINGS OF SECT. 13(F) SECURITIES AS OF 12/31/1993, WITHIN 45 DAYS OF 12/31/1993 - THE LAST DAY OF THE CALENDAR YEAR IN WHICH IT FIRST EXERCISED INVESTMENT DISCRETION WITH RESPECT TO ACCOUNTS HOLDING SECT. 13(F) SECURITIES HAVING AN AGGREGATE FAIR MARKET VALUE ON THE LAST TRADING DAY OF ANY MONTH OF AT LEAST \$100 MILLION. (4) MOGY ALSO WAS OBLIGATED TO FILE ADDITIONAL FORM 13FS AS OF THE END OF THE NEXT THREE CALENDAR QUARTERS OF 1994, WITHIN 45 DAYS OF THE END OF EACH SUCH CALENDAR QUARTER. (5) FROM 1993 TO 2000, MOGY, EXERCISED INVESTMENT DISCRETION OVER ACCOUNTS HOLDING SECT. 13(F) SECURITIES IN EXCESS OF \$100 MILLION ON THE LAST TRADING DAY OF AT LEAST ONE MONTH OF EACH YEAR DURING THE PERIOD. THUS, FROM 02/1994 THROUGH AT LEAST 08/2000, MOGY HAD A CONTINUOUS OBLIGATION TO FILE FORM 13FS ON A QUARTERLY BASIS. DURING THIS PERIOD, THE MOGY FAILED TO FILE ANY FORM. (6) MOGY WILLFULLY AIDED AND ABETTED AND CAUSED THE VIOLATION OF SECT. 13(F)(1) OF THE EXCHANGE ACT AND RULE 13F-1 THEREUNDER.

Reporting Source:	Individual
Regulatory Action Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Cease and Desist Other: CENSURE, CIVIL PENALTY, UNDERTAKINGS
Date Initiated:	05/07/2001
Docket/Case Number:	ADMIN. PROC. FILE NO. 3-10475



Employing firm when activity occurred which led to the regulatory action:	JOEL R. MOGY INVESTMENT COUNSEL, INC.
Product Type:	Equity Listed (Common & Preferred Stock)
Allegations:	FAILED TO FILE FORM 13F FROM FEBRUARY 1994 THROUGH AUGUST 2000
Current Status:	Final
Resolution:	Settled
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:	07/07/2001
Sanctions Ordered:	Censure Other: UNDERTAKING TO IMPLEMENT PROCEDURES TO ENSURE COMPLIANCE WITH 13F FILING REQUIREMENTS.
Broker Statement	ON MAY 7, 2001, THE SEC ENTERED AN ORDER INSTITUTING ADMINISTRATIVE PROCEEDINGS AGAINST JOEL R. MOGY INVESTMENT COUNSEL INC. ("THE ADVISER") AND JOEL R. MOGY (COLLECTIVELY, THE "RESPONDENTS") WITH RESPECT TO THE ALLEGED FAILURE OF THE ADVISER TO FILE FORMS 13F FOR THE PERIOD FEBRUARY 1994 THROUGH AUGUST 2000. IN ANTICIPATION OF SUCH PROCEEDINGS, THE RESPONDENTS SUBMITTED AN OFFER OF SETTLEMENT PURSUANT TO WHICH, WITHOUT ADMITTING OR DENYING THE FINDINGS IN THE SEC ORDER, THE RESPONDENTS CONSENTED TO THE ENTRY OF THE FINDINGS AND THE REMEDIAL SANCTIONS SET FORTH IN THE ORDER. THE SEC FOUND THAT THE FAILURE TO FILE THE SPECIFIED REPORTS ON FORM 13F CONSTITUTED A VIOLATION BY THE ADVISER OF SECTION 13(F)(1) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 13F-1 PROMULGATED THEREUNDER, AND THAT MR. MOGY AIDED AND ABETTED AND CAUSED SUCH VIOLATIONS. THE SEC DID NOT ALLEGE THAT THE FAILURE TO FILE THE FORMS 13F WAS INTENDED TO CONCEAL ANY UNLAWFUL OR IMPROPER CONDUCT BY THE ADVISER OR MR. MOGY.



End of Report

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