



IAPD Report

MATTHEW VELLA

CRD# 5274850

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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

MATTHEW VELLA (CRD# 5274850)

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 **04/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	04/15/2026
IA	MORGAN STANLEY	CRD# 149777	04/15/2026

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
IA	STRATEGIC ADVISERS LLC	104555	ROSLYN, NY	03/31/2025 - 04/14/2026
B	FIDELITY BROKERAGE SERVICES LLC	7784	ROSLYN, NY	08/21/2023 - 04/14/2026
IA	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	ROSLYN, NY	08/23/2023 - 03/31/2025

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	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 Principal	Approved	04/15/2026
B FINRA	General Securities Representative	Approved	04/15/2026
B FINRA	General Securities Sales Supervisor	Approved	04/15/2026
B NYSE American LLC	General Securities Principal	Approved	04/15/2026
B NYSE American LLC	General Securities Representative	Approved	04/15/2026
B NYSE American LLC	General Securities Sales Supervisor	Approved	04/15/2026
B Nasdaq Stock Market	General Securities Principal	Approved	04/15/2026
B Nasdaq Stock Market	General Securities Representative	Approved	04/15/2026
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	04/15/2026
B New York Stock Exchange	General Securities Principal	Approved	04/15/2026
B New York Stock Exchange	General Securities Representative	Approved	04/15/2026
B New York Stock Exchange	General Securities Sales Supervisor	Approved	04/15/2026
B Alabama	Agent	Approved	04/15/2026



Qualifications

Regulator	Registration	Status	Date
B Alaska	Agent	Approved	04/15/2026
B Arizona	Agent	Approved	04/15/2026
B Arkansas	Agent	Approved	04/15/2026
B California	Agent	Approved	04/15/2026
B Colorado	Agent	Approved	04/15/2026
B Connecticut	Agent	Approved	04/15/2026
B Delaware	Agent	Approved	04/15/2026
B District of Columbia	Agent	Approved	04/15/2026
B Florida	Agent	Approved	04/15/2026
B Georgia	Agent	Approved	04/15/2026
B Hawaii	Agent	Approved	04/15/2026
B Idaho	Agent	Approved	04/15/2026
B Illinois	Agent	Approved	04/15/2026
B Indiana	Agent	Approved	04/15/2026
B Iowa	Agent	Approved	04/15/2026
B Kansas	Agent	Approved	04/15/2026
B Kentucky	Agent	Approved	04/15/2026
B Louisiana	Agent	Approved	04/15/2026
B Maine	Agent	Approved	04/15/2026



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	04/15/2026
B Massachusetts	Agent	Approved	04/15/2026
B Michigan	Agent	Approved	04/15/2026
B Minnesota	Agent	Approved	04/15/2026
B Mississippi	Agent	Approved	04/15/2026
B Missouri	Agent	Approved	04/15/2026
B Montana	Agent	Approved	04/15/2026
B Nebraska	Agent	Approved	04/15/2026
B Nevada	Agent	Approved	04/15/2026
B New Hampshire	Agent	Approved	04/15/2026
B New Jersey	Agent	Approved	04/15/2026
B New Mexico	Agent	Approved	04/15/2026
B New York	Agent	Approved	04/15/2026
IA New York	Investment Adviser Representative	Approved	04/15/2026
B North Carolina	Agent	Approved	04/15/2026
B North Dakota	Agent	Approved	04/15/2026
B Ohio	Agent	Approved	04/15/2026
B Oklahoma	Agent	Approved	04/15/2026
B Oregon	Agent	Approved	04/15/2026



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	04/15/2026
B Puerto Rico	Agent	Approved	04/15/2026
B Rhode Island	Agent	Approved	04/15/2026
B South Carolina	Agent	Approved	04/15/2026
B South Dakota	Agent	Approved	04/15/2026
B Tennessee	Agent	Approved	04/15/2026
B Texas	Agent	Approved	04/15/2026
IA Texas	Investment Adviser Representative	Approved	04/15/2026
B Utah	Agent	Approved	04/15/2026
B Vermont	Agent	Approved	04/15/2026
B Virgin Islands	Agent	Approved	04/15/2026
B Virginia	Agent	Approved	04/15/2026
B Washington	Agent	Approved	04/15/2026
B West Virginia	Agent	Approved	04/15/2026
B Wisconsin	Agent	Approved	04/15/2026
B Wyoming	Agent	Approved	04/15/2026

Branch Office Locations

MORGAN STANLEY
1200 Franklin Avenue
2Nd Floor
Garden City, NY 11530






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 3 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/21/2021
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	12/10/2020
 General Securities Principal Examination (S24)	Series 24	11/03/2015

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	04/17/2008

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/14/2010
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/15/2008

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
IA	03/31/2025 - 04/14/2026	STRATEGIC ADVISERS LLC	CRD# 104555	ROSLYN, NY
B	08/21/2023 - 04/14/2026	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	ROSLYN, NY
IA	08/23/2023 - 03/31/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	CRD# 288590	ROSLYN, NY
IA	01/04/2023 - 08/15/2023	MORGAN STANLEY	CRD# 149777	Garden City, NY
B	01/03/2023 - 08/15/2023	MORGAN STANLEY	CRD# 149777	Garden City, NY
IA	10/14/2011 - 08/15/2023	E*TRADE CAPITAL MANAGEMENT, LLC	CRD# 42159	Garden City, NY
B	10/14/2011 - 08/15/2023	E*TRADE SECURITIES LLC	CRD# 29106	Garden City, NY
IA	04/15/2010 - 09/07/2011	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	NEW YORK, NY
B	11/23/2009 - 09/07/2011	MORGAN STANLEY SMITH BARNEY	CRD# 149777	NEW YORK, NY
B	04/18/2008 - 11/11/2009	LIDLAW & COMPANY (UK) LTD.	CRD# 119037	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
03/2026 - Present	MORGAN STANLEY	Assoc. Market Manager	Y	Garden City, NY, United States
03/2025 - 03/2026	Fidelity Investments	Mass Transfer	Y	BOSTON, MA, United States
08/2023 - 03/2026	FIDELITY INVESTMENTS	FINANCIAL CONSULTANT	Y	ROSLYN, NY, United States
01/2023 - 08/2023	Morgan Stanley	AVP, Retail Branch Manager	Y	Garden City, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2020 - 08/2023	E*TRADE Capital Management LLC	AVP, Retail Branch Manager	Y	Garden City, NY, United States
02/2020 - 08/2023	E*TRADE Securities LLC	AVP, Retail Branch Manager	Y	Garden City, NY, United States
10/2011 - 02/2020	E*TRADE CAPITAL MANAGEMENT LLC	BRANCH MANAGER RETAIL BRANCH	Y	GARDEN CITY, NY, United States
10/2011 - 02/2020	E*TRADE SECURITIES LLC	BRANCH MANAGER RETAIL BRANCH	Y	GARDEN CITY, 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
Customer Dispute	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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	E*TRADE SECURITIES LLC
Allegations:	INAPPROPRIATELY GUARANTEED APPROVAL FOR OPTIONS LEVEL 2 TRADING WHICH CAUSED HYPOTHETICAL LOSSES TOTALING \$25,000.00
Product Type:	Options
Alleged Damages:	\$25,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/02/2014
Complaint Pending?	No
Status:	Denied
Status Date:	02/23/2015

Settlement Amount:

Individual Contribution Amount:

Broker Statement I ASSISTED THE CLIENT WITH DEPOSITING A CHECK AND SUBMITTING AN



OPTIONS UPGRADE FORM FOR LEVEL 2 OPTIONS. I CLEARLY TOLD THE CLIENT IT HAD TO BE REVIEWED BY AN OPTIONS PRINCIPAL AT ETRADE. I EXPLICITLY TOLD HIM IT WAS FILLED OUT COMPLETELY AND IN GOOD ORDER (MEANING NO SECTIONS WERE MISSING AND IT WAS SIGNED IN THE CORRECT PLACE), AND GAVE HIM THE TIMEFRAME FOR REVIEW OF THIS WHICH WAS 2 BUSINESS DAYS. HE MISINTERPRETED THIS STATEMENT AS A GUARANTEE THAT THIS WOULD BE APPROVED FOR THE REQUESTED OPTIONS LEVEL, WHICH IS COMPLETELY FALSE. I BELIEVE THE CLIENT'S INTENTIONS WERE MALICIOUS IN NATURE AS HE WAS IN THE INDUSTRY YEARS AGO AND USED THIS KNOWLEDGE TO TRY AND MANIPULATE WORDS FOR PERSONAL GAIN. NO MONETARY AWARD WAS GIVEN BY ETRADE DUE TO THE FACT THAT THE CUSTOMER'S CLAIM LACKED MERIT. MY MOST IMPORTANT LESSON FROM THIS EXPERIENCE WAS NOT ENTERING A DETAILED ENOUGH NOTE OF THIS CONVERSATION THE DAY IT OCCURRED, WHICH I SHOULD HAVE. IN THE FUTURE, I HAVE LEARNED THAT WHEN DEALING WITH ERRATIC AND DISINGENUOUS CLIENTS I MUST BE MORE DILIGENT IN ENTERING DETAILED AND DESCRIPTIVE NOTES EVEN FOR THE MOST BASIC OF INTERACTIONS.



End of Report

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