



IAPD Report

Matthew Howard Remis

CRD# 5949597

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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 Howard Remis (CRD# 5949597)

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 **05/06/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	FARTHER	CRD# 302050	05/02/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	NEW EDGE WEALTH	307771	Stamford, CT	03/07/2023 - 05/06/2025
IA	SVB WEALTH	172832	Boston, MA	03/03/2021 - 02/17/2023
B	MORGAN STANLEY	149777	BOSTON, MA	09/07/2011 - 07/29/2020

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
Termination	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **FARTHER**
Main Address: 345 CALIFORNIA STREET
SUITE 600
SAN FRANCISCO, CA 94104
Firm ID#: 302050

	Regulator	Registration	Status	Date
	Massachusetts	Investment Adviser Representative	Approved	05/08/2025
	Texas	Investment Adviser Representative	Approved	05/02/2025

Branch Office Locations

FARTHER
North Andover, MA



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, 2 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
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 General Securities Representative Examination (S7)	Series 7	09/06/2011
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State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	10/27/2020
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 Uniform Securities Agent State Law Examination (S63)	Series 63	09/21/2011
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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	03/07/2023 - 05/06/2025	NEW EDGE WEALTH	CRD# 307771	Stamford, CT
IA	03/03/2021 - 02/17/2023	SVB WEALTH	CRD# 172832	Boston, MA
B	09/07/2011 - 07/29/2020	MORGAN STANLEY	CRD# 149777	BOSTON, MA

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
04/2025 - Present	Farther	Managing Director, Wealth Advisor	Y	Andover, MA, United States
02/2023 - 04/2025	NewEdge Wealth	Principal	Y	Stamford, CT, United States
07/2020 - 02/2023	SVB Wealth LLC (f/k/a Boston Private Wealth LLC)	Managing Director	Y	Boston, MA, United States
06/2011 - 06/2020	Morgan Stanley	Vice President	Y	Boston, MA, 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.North Andover Youth Baseball*Serving on the board and helping to ensure that baseball exists, runs smoothly, and includes as many kids interested in playing in town* Not investment*4Hrs per mnth/0 during trade*2/8/23
- 2.Congregation Ahavat Olam*I am one of the founders of a new synagogue in my town*Not Investment*5 hrs per mnth/0 during trade*2/8/23*North Andover, MA
- 3.Beth Israel Deaconess Finance Committee*I have served as a member of the Finance Committee for close to 15 years.*As a committee, we understand the financial concerns and budgets of the hospital and help to navigate the near and longer term*No Invest*3 hr per mnth*2/8/23*Boston, MA



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
Termination	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:	Massachusetts
Sanction(s) Sought:	Other: Consent Order
Date Initiated:	03/03/2021
Docket/Case Number:	R-2021-0013
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Boston Private Wealth LLC
Product Type:	No Product
Allegations:	Given Matthew H. Remis' three (3) disclosure incidents, the Massachusetts Securities Division is allowing his registration as an investment adviser representative in Massachusetts pursuant to a two (2) year plan of heightened supervision.
Current Status:	Final
Resolution:	Consent



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: 03/03/2021

Sanctions Ordered: Undertaking



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: Firm

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY

Allegations: CLIENT ALLEGED THAT THERE WERE UNAUTHORIZED TRADES IN THEIR SELF-DIRECTED ADVISORY ACCOUNT. 2012-2018

Product Type: Other: Managed/Wrap Accounts (In-House Money Manager)

Alleged Damages: \$30,000.00

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: 11/29/2020

Complaint Pending? No

Status: Settled

Status Date: 12/09/2020

Settlement Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY

Allegations: CLIENT ALLEGED THAT THERE WERE UNAUTHORIZED TRADES IN THEIR SELF-DIRECTED ADVISORY ACCOUNT

Product Type: Other: Managed/Wrap Accounts (In house money manager)

Alleged Damages: \$30,000.00

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:	11/29/2020
Complaint Pending?	No
Status:	Settled
Status Date:	12/09/2020
Settlement Amount:	\$25,000.00
Individual Contribution Amount:	\$0.00



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: MSWM
Termination Type: Voluntary Resignation
Termination Date: 06/29/2020
Allegations: Allegations regarding whether the representative (i) had contact with certain clients before executing some trades and (ii) correctly marked some trades as unsolicited.
Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)
Penny Stock

Reporting Source: Individual
Firm Name: Morgan Stanley
Termination Type: Voluntary Resignation
Termination Date: 06/29/2020
Allegations: Allegations regarding whether the representative (i) had contact with certain clients before executing some trades and (ii) correctly marked some trades as unsolicited.
Product Type: No Product

Broker Statement
On June 29, 2020, I resigned from Morgan Stanley. My resignation was a result of my decision to pursue other professional opportunities as I had been looking to leave the firm for close to 5 months (since February). In April, I was made aware of a "verbal complaint" from one of my clients - the first complaint I had received in my career. During my remaining months at Morgan Stanley, I cooperated fully with the internal interviews and internal investigation, but was never disciplined in any way. At the time of my resignation, I was made aware that the firm had concluded its internal process but was never provided with any information about the final outcome. During my final few months as an employee, I continued to conduct my day to day business the same way I had throughout my career. Throughout my employment, I continued to have full access to, and authority over, my clients' accounts and was never limited or disciplined in any way. During the investigation, I heard from a number of my clients who were contacted and each confirmed that they were satisfied with our professional relationship and only had positive things to say.



End of Report

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