



IAPD Report

Simon Alexander

CRD# 730282

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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

Simon Alexander (CRD# 730282)

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 **09/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	09/06/2024
IA	MORGAN STANLEY	CRD# 149777	09/06/2024

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **49** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	LYNBROOK, NY	07/05/2007 - 09/25/2024
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	LYNBROOK, NY	05/18/2007 - 09/25/2024
B	CITIGROUP GLOBAL MARKETS INC.	7059	REGO PARK, NY	05/19/2000 - 06/05/2007

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
Regulatory Event	2



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 **49** 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	09/06/2024
B FINRA	General Securities Representative	Approved	09/06/2024
B FINRA	General Securities Sales Supervisor	Approved	09/06/2024
B FINRA	Registered Options Principal	Approved	09/06/2024
B NYSE American LLC	General Securities Principal	Approved	09/06/2024
B NYSE American LLC	General Securities Representative	Approved	09/06/2024
B NYSE American LLC	General Securities Sales Supervisor	Approved	09/06/2024
B NYSE American LLC	Registered Options Principal	Approved	09/06/2024
B Nasdaq Stock Market	General Securities Principal	Approved	09/06/2024
B Nasdaq Stock Market	General Securities Representative	Approved	09/06/2024
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	09/06/2024
B Nasdaq Stock Market	Registered Options Principal	Approved	09/06/2024
B New York Stock Exchange	General Securities Principal	Approved	09/06/2024



Qualifications

Regulator	Registration	Status	Date
B New York Stock Exchange	General Securities Representative	Approved	09/06/2024
B New York Stock Exchange	General Securities Sales Supervisor	Approved	09/06/2024
B Alabama	Agent	Approved	04/14/2025
B Alaska	Agent	Approved	09/15/2025
B Arizona	Agent	Approved	04/18/2025
B California	Agent	Approved	09/06/2024
B Colorado	Agent	Approved	09/06/2024
B Connecticut	Agent	Approved	09/06/2024
B Delaware	Agent	Approved	09/06/2024
B District of Columbia	Agent	Approved	09/06/2024
B Florida	Agent	Approved	09/06/2024
B Georgia	Agent	Approved	09/06/2024
B Hawaii	Agent	Approved	05/29/2025
B Idaho	Agent	Approved	04/14/2025
B Illinois	Agent	Approved	09/06/2024
B Indiana	Agent	Approved	04/14/2025
B Iowa	Agent	Approved	04/22/2025
B Kansas	Agent	Approved	04/14/2025
B Kentucky	Agent	Approved	04/14/2025



Qualifications

	Regulator	Registration	Status	Date
B	Louisiana	Agent	Approved	09/06/2024
B	Maine	Agent	Approved	09/06/2024
B	Maryland	Agent	Approved	09/06/2024
B	Massachusetts	Agent	Approved	09/09/2024
B	Michigan	Agent	Approved	09/06/2024
B	Minnesota	Agent	Approved	04/16/2025
B	Mississippi	Agent	Approved	04/14/2025
B	Missouri	Agent	Approved	06/03/2025
B	Montana	Agent	Approved	04/15/2025
B	Nebraska	Agent	Approved	04/16/2025
B	Nevada	Agent	Approved	04/14/2025
B	New Hampshire	Agent	Approved	09/06/2024
B	New Jersey	Agent	Approved	09/06/2024
B	New Mexico	Agent	Approved	04/14/2025
B	New York	Agent	Approved	09/06/2024
IA	New York	Investment Adviser Representative	Approved	09/06/2024
B	North Carolina	Agent	Approved	09/26/2024
B	Ohio	Agent	Approved	04/14/2025
B	Oregon	Agent	Approved	04/13/2025



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	09/06/2024
B Puerto Rico	Agent	Approved	04/28/2025
B Rhode Island	Agent	Approved	04/14/2025
B South Carolina	Agent	Approved	09/06/2024
B South Dakota	Agent	Approved	04/14/2025
B Tennessee	Agent	Approved	09/06/2024
B Texas	Agent	Approved	09/06/2024
IA Texas	Investment Adviser Representative	Restricted Approval	09/06/2024
B Utah	Agent	Approved	04/14/2025
B Vermont	Agent	Approved	09/06/2024
B Virgin Islands	Agent	Approved	04/14/2025
B Virginia	Agent	Approved	09/06/2024
B Washington	Agent	Approved	09/06/2024
B West Virginia	Agent	Approved	09/06/2024
B Wisconsin	Agent	Approved	04/14/2025

Branch Office Locations

MORGAN STANLEY
Two Jericho Plaza
Jericho, NY 11753



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 6 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
Municipal Securities Principal Examination (S53)	Series 53	02/01/1988
Registered Options Principal Examination (S4)	Series 4	08/17/1982
General Securities Principal Examination (S24)	Series 24	08/16/1982
NYSE Branch Manager Examination (S12)	Series 12	07/18/1981

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
National Commodity Futures Examination (S3)	Series 3	07/30/1985
Foreign Currency Options Examination (S15)	Series 15	03/07/1983
Interest Rate Options Examination (S5)	Series 5	11/19/1981
General Securities Representative Examination (S7)	Series 7	05/16/1981



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/01/1993
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/29/1989

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	07/05/2007 - 09/25/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	LYNBROOK, NY
B	05/18/2007 - 09/25/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	LYNBROOK, NY
B	05/19/2000 - 06/05/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	REGO PARK, NY
B	05/06/1999 - 05/23/2000	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	05/18/1981 - 11/17/1998	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	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
10/2024 - Present	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
09/2024 - Present	MORGAN STANLEY SMITH BARNEY LLC	FINANCIAL ADVISOR	Y	JERICHO, NY, United States
07/2011 - 09/2024	BANK OF AMERICA, N.A.	SENIOR FINANCIAL ADVISOR	Y	HEWLETT, NY, United States
05/2007 - 09/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR	Y	FOREST HILLS, 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
Regulatory Event	2

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 2

Reporting Source:	Individual
Regulatory Action Initiated By:	State of Florida, Department of Financial Services
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	01/30/2012
Docket/Case Number:	122890-12-AG
Employing firm when activity occurred which led to the regulatory action:	Merrill Lynch, Pierce, Fenner & Smith Incorporated
Product Type:	No Product
Allegations:	On or around October 25, 2011, the Bureau of Licensing of the State of Florida determined that grounds existed to deny registered representative's application for licensure as a non-resident life and variable annuity agent and non-resident health agent. In an effort to resolve the matter, registered representative entered into a Settlement Stipulation for Consent Order.
Current Status:	Final
Resolution:	Stipulation and 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:	01/30/2012



Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$1,500.00
Portion Levied against individual:	\$1,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	03/26/2012
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	On January 30, 2012, registered representative entered into a Settlement Stipulation for Consent Order whereby he and the State agreed to resolve all issues pertaining to the matter, including waiver of receipt of a denial letter.
Disclosure 2 of 2	
Reporting Source:	Regulator
Regulatory Action Initiated By:	HEARING PANEL.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/25/1994
Docket/Case Number:	93-184
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	VIOLATED RULE 342(a) BY FAILING TO DISCHARGE HIS DUTIES IN CONNECTION WITH THE SUPERVISION OF A REGISTERED REPRESENTATIVE.
Current Status:	Final
Resolution:	Consent
Resolution Date:	02/25/1994
Sanctions Ordered:	Censure Monetary/Fine \$4,000.00
Other Sanctions Ordered:	
Sanction Details:	CONSENT TO CENSURE AND \$4,000 FINE.
Regulator Statement	CENSURE AND FINE OF \$4,000 EFFECTIVE IMMEDIATELY. CONTACT: PEGGY GERMINO (212)656-8450.



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Reporting Source:	Individual
Regulatory Action Initiated By:	N.Y.S.E.
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	FINE \$4000
Date Initiated:	03/18/1993
Docket/Case Number:	93-184
Employing firm when activity occurred which led to the regulatory action:	PRUDENTIAL SECURITIES
Product Type:	Other
Other Product Type(s):	
Allegations:	ON 12-20-93, I, AS A FORMER BRANCH OFFICE MANAGER WITH PRUDENTIAL SECURITIES, CONSENTED TO STIPULATION OF FACTS AND CONSENT TO PENALTY INVOLVING THE FAILURE TO SUPERVISE A REGISTERED REPRESENTATIVE.
Current Status:	Final
Resolution:	Consent
Resolution Date:	12/20/1993
Sanctions Ordered:	Censure Monetary/Fine \$4,000.00
Other Sanctions Ordered:	
Sanction Details:	\$4000 PAID ON 4/5/94
Broker Statement	CENSURE AND PENALTY WAS CONSENTED TO AND FINE PAID ON 4/5/94



End of Report

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