



IAPD Report

MARK JOHN JAKUBOVIE

CRD# 735372

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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

MARK JOHN JAKUBOVIE (CRD# 735372)

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 **11/13/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	06/01/2009
IA	MORGAN STANLEY	CRD# 149777	06/01/2009

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **27** 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	CITIGROUP GLOBAL MARKETS INC.	7059	INDIANAPOLIS, IN	12/15/1998 - 06/01/2009
B	CITIGROUP GLOBAL MARKETS INC.	7059	INDIANAPOLIS, IN	07/31/1993 - 06/01/2009
B	LEHMAN BROTHERS INC.	7506	NEW YORK, NY	11/24/1989 - 07/31/1993

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
Customer Dispute	2
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 **27** 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 Representative	Approved	06/01/2009
B	NYSE American LLC	General Securities Representative	Approved	06/17/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	06/01/2009
B	New York Stock Exchange	General Securities Representative	Approved	06/01/2009
B	Alabama	Agent	Approved	06/01/2009
B	Arizona	Agent	Approved	06/01/2009
B	California	Agent	Approved	06/01/2009
B	Colorado	Agent	Approved	06/01/2009
B	Delaware	Agent	Approved	06/01/2009
B	Florida	Agent	Approved	06/01/2009
B	Illinois	Agent	Approved	06/01/2009
B	Indiana	Agent	Approved	06/01/2009
IA	Indiana	Investment Adviser Representative	Approved	06/01/2009



Qualifications

Regulator	Registration	Status	Date
B Kentucky	Agent	Approved	10/05/2011
B Maryland	Agent	Approved	06/01/2009
B Massachusetts	Agent	Approved	06/01/2009
B Michigan	Agent	Approved	06/01/2009
B Minnesota	Agent	Approved	12/09/2016
B Missouri	Agent	Approved	11/04/2014
B Montana	Agent	Approved	06/01/2009
B New Mexico	Agent	Approved	04/24/2020
B New York	Agent	Approved	06/01/2009
B North Carolina	Agent	Approved	06/19/2020
B Ohio	Agent	Approved	06/01/2009
B Oklahoma	Agent	Approved	06/01/2009
B Oregon	Agent	Approved	02/02/2023
B Pennsylvania	Agent	Approved	06/01/2009
B South Carolina	Agent	Approved	06/01/2009
B Tennessee	Agent	Approved	06/01/2009
B Utah	Agent	Approved	01/03/2024
B Virginia	Agent	Approved	06/01/2009
B Wisconsin	Agent	Approved	09/09/2021



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

MORGAN STANLEY
800 East 96th Street
Suite 400
Indianapolis, IN 46240



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, 3 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
 General Securities Representative Examination (S7)	Series 7	05/24/1991
 National Commodity Futures Examination (S3)	Series 3	06/21/1984

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	10/25/2010
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/24/1981

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	12/15/1998 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	INDIANAPOLIS, IN
B	07/31/1993 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	INDIANAPOLIS, IN
B	11/24/1989 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	07/20/1981 - 11/09/1989	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
01/2015 - Present	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - Present	MORGAN STANLEY SMITH BARNEY	Mass Transfer	Y	INDIANAPOLIS, IN, United States
07/1993 - Present	CITIGROUP GLOBAL MARKETS INC.	FINANCIAL ADVISOR	Y	INDIANAPOLIS, IN, 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
Customer Dispute	2
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 2

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 12/07/1990

Docket/Case Number: C8A900024

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 03/22/1991

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00

Other Sanctions Ordered:

**Sanction Details:****Regulator Statement**

ON MARCH 22, 1991, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C8A900024 (CHI-1353-AWC - DISTRICT NO. 8) SUBMITTED BY RESPONDENTS MARK JOHN JAKUBOVIE AND ROBERT LEE NASH II WAS ACCEPTED; THEREFORE, RESPONDENT JAKUBOVIE WAS CENSURED AND FINED \$5,000 AND RESPONDENT NASH WAS CENSURED AND FINED \$2,000. IN ADDITION, BOTH RESPONDENTS MUST REQUALIFY BY EXAMINATION AS A GENERAL SECURITIES REPRESENTATIVE WITHIN 90 DAYS OF THE ISSUANCE OF THIS AWC OR CEASE ACTING IN SUCH A CAPACITY UNTIL THEY HAVE SO REQUALIFIED - (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - IN CONTRAVENTION OF THE BOARD OF GOVERNORS' FREE-RIDING AND WITHHOLDING INTERPRETATION, RESPONDENTS JAKUBOVIE AND NASH PURCHASED FOR THE ACCOUNTS OF RESTRICTED PERSON SHARES OF A NEW ISSUE THAT TRADED AT A PREMIUM IN THE IMMEDIATE AFTERMARKET).

\$5,000.00 PAID ON 5/6/91 INVOICE #91-8A-401

Reporting Source:

Individual

Regulatory Action Initiated By:

NASD - DISTRICT NO. 8

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

12/07/1990

Docket/Case Number:

C8A900024

Employing firm when activity occurred which led to the regulatory action:**Product Type:****Other Product Type(s):****Allegations:**

NASD ALLEDGED VIOLATION OF ARTICLE III SECTION 1 OF THE ASSOCIATION'S RULE OF FAIR PRACTICE.

Current Status:

Final

Resolution:

Consent

Resolution Date:

03/22/1991

Sanctions Ordered:

Censure
Monetary/Fine \$5,000.00

Other Sanctions Ordered:**Sanction Details:**

NOTICE OF ACCEPTANCE LETTER OF ACCEPTANCE, WAIVER AND CONSENT CSA900024 (PREVIOUSLY CHI-1353-AWC). WITHOUT ADMITTING OR DENYING, MR. JAKUBOVIE CONSENTS TO A PENALTY OF CENSURE, A \$5,000. FINE AND A REQUIREMENT TO REQUALIFY BY EXAMINATION AS A REPRESENTATIVE WITHIN 90 CALENDAR DAYS STARTING FROM 3-2-91.

Broker Statement

THIS CONSENT AGREEMENT IS NOT AN ADMISSION BY ME OF ANY VIOLATION OF THE NASD OR RULES AND REGULATIONS



THEREUNDER. THE EXECUTION OF THIS AWC WAS TO SETTLED THE MATTER WITHOUT THE NECESSITY AND BURDEN OF A PUBLIC HEARING. (AWC ATTACHED) THE NASD ALLEGATIONS WERE IN RESPONSE TO THE SAME INCIDENT REPORTED 11-13-89, CASE #89-0226AC, WHICH I SETTLED "WITHOUT ADMITTING OR DENYING: WITH THE INDIANA SECURITIES DIVISION ON 12-05-89.

Disclosure 2 of 2

Reporting Source: Individual
Regulatory Action Initiated By: STATE OF INDIANA
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 11/13/1989
Docket/Case Number: 89-0226-AC
Employing firm when activity occurred which led to the regulatory action: MERRILL LYNCH
Product Type:
Other Product Type(s):
Allegations: STATE ALLEGED CERTAIN VIOLATIONS OF THE INDIANA SECURITIES ACT.
Current Status: Final
Resolution: Consent
Resolution Date: 12/05/1989
Sanctions Ordered: Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: I CONSENTED TO WAIVING MY RIGHT TO A HEARING AND AGREED TO THE FOLLOWING: [1] A "RETROACTIVE" SUSPENSION OF MY INDIANA AGENT REGISTRATION FOR 30 DAYS BEGINNING 10-26-89; [2] A \$5,000 FINE PAYABLE TO THE STATE OF INDIANA; [3] THE APPROVAL OF MY REGISTRATION EFFECTIVE 12-5-1980; [4] ADDITIONAL SUPERVISION BY MY NEW EMPLOYER FOR ONE YEAR.

Broker Statement THIS CONSENT AGREEMENT IS NOT AN ADMISSION BY ME OF ANY VIOLATION OF THE INDIANA SECURITIES ACT OR THE RULES AND REGULATIONS PROMULGATED THEREUNDER. THE EXECUTION OF THIS CONSENT AGREEMENT WAS TO SETTLE THE MATTER WITHOUT THE NECESSITY AND BURDEN OF A PUBLIC HEARING. (CONSENT AGREEMENT ATTACHED).



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 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: CLIENT ALLEGED THAT HIS INSTRUCTIONS ABOUT HOW TO ALLOCATE THE ASSETS IN HIS TRAK ACCOUNT WERE NOT FOLLOWED FROM 12/23/97 THROUGH 02/13/1999.

Product Type: Other

Other Product Type(s): MUTUAL FUNDS

Alleged Damages: \$36,249.00

Customer Complaint Information

Date Complaint Received: 05/28/1999

Complaint Pending? No

Status: Denied

Status Date: 08/31/1999

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CLAIM WAS DENIED.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: VARIOUS ALLEGATIONS OF VIOLATIONS OF THE COMMODITIES EXCHANGE ACT AND THE INDIANA SECUTIEIS ACT. SEEKING \$151,364 IN LOSSES PLUS INTEREST PLUS EXEMPLARY DAMAGES.

Product Type:

Alleged Damages: \$151,364.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No



Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Futures Association; 90-ARB-190

Date Notice/Process Served: 08/01/1990

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/04/1991

Monetary Compensation Amount: \$36,500.00

Individual Contribution Amount: \$0.00

Firm Statement PAYMENT TO CUSTOMERS BY MERRILL LYNCH OF \$35,000 PLUS \$1,500 TO COVER NFA FILING FEE. MATTER SETTLED BY MERRILL LYNCH TO SAVE COST OF COUNSEL FEES AT AMOUNT REPRESENTING LESS THAN 25% OF CUSTOMERS LOSS.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: \$150,000. COMMODITY FUTURES LOSSES IN SPECULATIVE ACCOUNTS, CLAIMANT ALLEGES IT SHOULD HAVE BEEN A HEDGE NOT A SPECULATIVE POSITION. FAILURE TO REVIEW CUSTOMER COMMODITY AGREEMENT AND STATEMENT OF FINANCIAL CONDITION.

Product Type:

Alleged Damages: \$151,364.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim NATIONAL FUTURES ASSOCIATION; 90-ARB-190



filed with and Docket/Case No.:

Date Notice/Process Served: 08/01/1990

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/04/1991

Monetary Compensation Amount: \$36,500.00

Individual Contribution Amount: \$0.00

Broker Statement

PAYMENT TO [CUSTOMER'S] BY MERRILL LYNCH OF \$35,000. PLUS \$1,500. TO COVER NFA FILING FEE. BROKER WAS NOT ASKED TO CONTRIBUTE TOWARD THIS SETTLEMENT. MATTER SETTLED BY MERRILL LYNCH TO SAVE COST OF LEGAL COUNSEL FEES AT AMOUNT REPRESENTING LESS THAN 25% OF CUSTOMERS' LOSS.



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: Individual
Firm Name: MERRILL LYNCH
Termination Type: Discharged
Termination Date: 10/26/1989
Allegations: N/A
* 1.) PURCHASING STOCK IN A RELATIVE'S ACCOUNT
2.) TRANSFER OF STOCK TO A RELATIVE'S ACCOUNT
3.) SHARING IN PROFIT FROM SALE OF STOCK (DENIED)
* SEE #9 BELOW FOR CORRECTION TO THIS QUESTION *

Product Type:

Other Product Types:

Broker Statement

TERMINATION OF EMPLOYMENT
* CORRECTION TO ITEM #7 OF ORIGINAL DRP REPORTING THIS ITEM. THE FOLLOWING ALLEGATIONS WERE LISTED IN ERROR:
1.) FORGED SIGNATURE OF RELATIVE (DENIED)
2.) TRANSFER OF FUNDS FROM EMPLOYEE ACCOUNT TO CLIENT ACCOUNT
I WAS MISLED BY MERRILL LYNCH MANAGEMENT. MY U5 WAS PURPOSELY DELAYED BY MERRILL LYNCH UNTIL THE 30TH DAY. THE MANAGER OF THE MERRILL LYNCH OFFICE VERBALLY ACCUSED ME OF THE ALLEGATIONS REPORTED ON MY ORIGINAL DRP. THE DRP WAS FILED 10-26-89. I RECEIVED MY U5 11-30-89. THIS IS WHY I AM MAKING THIS AMENDMENT. I HAVE RETAINED LEGAL COUNSEL TO SOLVE THIS MATTER.



End of Report

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