



## IAPD Report

# Adelyn Macoy Carmody

CRD# 7478371

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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

### Adelyn Macoy Carmody (CRD# 7478371)

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 **03/11/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	MORGAN STANLEY	CRD# 149777	04/19/2023
<b>IA</b>	MORGAN STANLEY	CRD# 149777	04/19/2023

### QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **51** 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
<b>IA</b>	RBC CAPITAL MARKETS, LLC	31194	DAVENPORT, IA	10/14/2022 - 05/19/2023
<b>B</b>	RBC CAPITAL MARKETS, LLC	31194	DAVENPORT, IA	07/18/2022 - 05/19/2023

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?

**No**












## 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 **51** 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
	FINRA	General Securities Representative	Approved	04/19/2023
	NYSE American LLC	General Securities Representative	Approved	04/19/2023
	Nasdaq Stock Market	General Securities Representative	Approved	04/19/2023
	New York Stock Exchange	General Securities Representative	Approved	04/19/2023
	Alabama	Agent	Approved	04/19/2023
	Alaska	Agent	Approved	04/19/2023
	Arizona	Agent	Approved	04/19/2023
	Arkansas	Agent	Approved	04/19/2023
	California	Agent	Approved	04/19/2023
	Colorado	Agent	Approved	04/19/2023
	Connecticut	Agent	Approved	04/19/2023
	Delaware	Agent	Approved	04/19/2023
	District of Columbia	Agent	Approved	04/19/2023



## Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	04/19/2023
B	Georgia	Agent	Approved	04/19/2023
B	Hawaii	Agent	Approved	04/19/2023
B	Idaho	Agent	Approved	04/19/2023
B	Illinois	Agent	Approved	04/19/2023
B	Indiana	Agent	Approved	04/19/2023
B	Iowa	Agent	Approved	04/19/2023
IA	Iowa	Investment Adviser Representative	Approved	04/19/2023
B	Kansas	Agent	Approved	04/19/2023
B	Kentucky	Agent	Approved	04/19/2023
B	Louisiana	Agent	Approved	04/19/2023
B	Maine	Agent	Approved	04/19/2023
B	Maryland	Agent	Approved	04/19/2023
B	Massachusetts	Agent	Approved	04/19/2023
B	Michigan	Agent	Approved	04/19/2023
B	Minnesota	Agent	Approved	04/19/2023
B	Mississippi	Agent	Approved	04/19/2023
B	Missouri	Agent	Approved	04/19/2023
B	Montana	Agent	Approved	04/19/2023



## Qualifications

	Regulator	Registration	Status	Date
B	Nebraska	Agent	Approved	04/19/2023
B	Nevada	Agent	Approved	04/19/2023
B	New Hampshire	Agent	Approved	04/19/2023
B	New Jersey	Agent	Approved	04/19/2023
B	New Mexico	Agent	Approved	04/19/2023
B	New York	Agent	Approved	04/19/2023
B	North Carolina	Agent	Approved	04/19/2023
B	North Dakota	Agent	Approved	04/19/2023
B	Ohio	Agent	Approved	04/19/2023
B	Oklahoma	Agent	Approved	04/19/2023
B	Oregon	Agent	Approved	04/19/2023
B	Pennsylvania	Agent	Approved	04/19/2023
B	Rhode Island	Agent	Approved	04/19/2023
B	South Carolina	Agent	Approved	04/19/2023
B	South Dakota	Agent	Approved	04/19/2023
B	Tennessee	Agent	Approved	04/19/2023
B	Texas	Agent	Approved	04/19/2023
IA	Texas	Investment Adviser Representative	Approved	04/19/2023
B	Utah	Agent	Approved	04/19/2023



## Qualifications

	Regulator	Registration	Status	Date
B	Vermont	Agent	Approved	04/19/2023
B	Virginia	Agent	Approved	04/19/2023
B	Washington	Agent	Approved	04/19/2023
B	West Virginia	Agent	Approved	04/19/2023
B	Wisconsin	Agent	Approved	04/19/2023
B	Wyoming	Agent	Approved	04/19/2023

## Branch Office Locations

**MORGAN STANLEY**  
1080 Jordan Creek Parkway  
West Des Moines, IA 50266



## 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 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> General Securities Representative Examination (S7TO)	Series 7TO	07/18/2022
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	05/27/2022

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	10/14/2022



### 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	10/14/2022 - 05/19/2023	RBC CAPITAL MARKETS, LLC	CRD# 31194	DAVENPORT, IA
B	07/18/2022 - 05/19/2023	RBC CAPITAL MARKETS, LLC	CRD# 31194	DAVENPORT, IA

### 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
04/2023 - Present	MORGAN STANLEY	Registered CSA (FARS)	Y	West Des Moines, IA, United States
12/2021 - 03/2023	RBC CAPITASL MARKETS, LLC	Registered Representative	Y	Davenport, IA, United States
01/2019 - 12/2021	University of Iowa	Full time student at the University of Iowa	N	Iowa City, IA, United States
08/2019 - 11/2021	Lucky Pawz LLC	Dog handler and shift supervisor	N	Iowa City, IA, United States
06/2021 - 10/2021	Caribou Coffee	Team Member/Barista	N	Coralville, IA, United States
12/2019 - 07/2021	Rover	Independent Contractor - dog sitting and watching services	N	Iowa City, IA, United States
07/2017 - 12/2019	William Wesley Grand Salon and Spa	Receptionist	N	Davenport, IA, United States
08/2018 - 12/2018	Central College	Full time student at Central College	N	Pella, IA, United States
08/2014 - 05/2018	North Scott High School	Full time High School student	N	Eldridge, IA, 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.



## End of Report

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