IAPD Report

MONROE M DIEFENDORF JR

CRD# 805205

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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

MONROE M DIEFENDORF JR (CRD# 805205)

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 **11/21/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CONSOLIDATED PORTFOLIO REVIEW CORP	CRD# 112694	01/12/2017
B	VANDERBILT SECURITIES, LLC	CRD# 5953	08/24/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	STRUCTURED CAPITAL DESIGNS, INC.	120494	LOCUST VALLEY, NY	01/12/2017 - 07/16/2020
B	STERLING MONROE SECURITIES, LLC	122696	LOCUST VALLEY, NY	01/15/2003 - 03/03/2020
IA	CONSOLIDATED PORTFOLIO REVIEW CORP	112694	LOCUST VALLEY, NY	11/02/2006 - 12/31/2016

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**

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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 **4** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **VANDERBILT SECURITIES, LLC**

Main Address: 125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797

Firm ID#: 5953

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	08/24/2018
B	FINRA	General Securities Representative	Approved	08/24/2018
B	FINRA	Municipal Fund	Approved	08/24/2018
B	FINRA	Operations Professional	Approved	08/24/2018
B	Maryland	Agent	Approved	01/07/2022
B	New York	Agent	Approved	08/24/2018
B	South Dakota	Agent	Approved	11/22/2021

Branch Office Locations

Laurel Hollow, NY

Employment 2 of 2

Firm Name: **CONSOLIDATED PORTFOLIO REVIEW CORP**

Main Address: 125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797

Firm ID#: 112694

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	01/07/2022

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Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	02/16/2017

Branch Office Locations

CONSOLIDATED PORTFOLIO REVIEW CORP
Laurel Hollow, NY

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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 2 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Fund Securities Principal Examination (S51)	Series 51	03/31/2003
B	General Securities Principal Examination (S24)	Series 24	03/06/1996

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/21/1984
B	Registered Representative Examination (S1)	Series 1	02/24/1975

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/29/1984

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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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	01/12/2017 - 07/16/2020	STRUCTURED CAPITAL DESIGNS, INC.	CRD# 120494	LOCUST VALLEY, NY
B	01/15/2003 - 03/03/2020	STERLING MONROE SECURITIES, LLC	CRD# 122696	LOCUST VALLEY, NY
IA	11/02/2006 - 12/31/2016	CONSOLIDATED PORTFOLIO REVIEW CORP	CRD# 112694	LOCUST VALLEY, NY
B	09/05/1989 - 01/14/2003	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	NEWARK, DE
B	07/15/1987 - 09/11/1989	MONY SECURITIES CORP.	CRD# 4386	
B	01/25/1984 - 09/11/1989	MONY SECURITIES CORP.	CRD# 4386	NEW YORK, NY
B	03/03/1975 - 09/11/1989	THE MUTUAL LIFE INSURANCE COMPANY OF NEW YORK	CRD# 2873	NEW YORK, NY
B	07/15/1987 - 08/01/1987	FSC SECURITIES CORPORATION	CRD# 7461	
B	06/11/1987 - 07/21/1987	NATHAN & LEWIS SECURITIES, INC.	CRD# 8503	
B	03/03/1975 - 06/18/1987	MONY SECURITIES CORP.	CRD# 4386	
B	04/06/1981 - 01/01/1985	PERSONAL ECONOMICS SECURITIES CORPORATION	CRD# 6862	

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
08/2018 - Present	VANDERBILT SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	WOODBURY, NY, United States
12/2002 - Present	CONSOLIDATED PORTFOLIO REVIEW CORP.	INVESTMENT ADVISOR	Y	LOCUST VALLEY, NY, United States
12/2002 - 07/2020	STRUCTURED CAPITAL DESIGNS, INC.	INVESTMENT ADVISOR	Y	LOCUST VALLEY, NY, United States
04/2002 - 07/2020	STERLING MONROE SECURITIES, LLC	MEMBER, REGISTERED PRINCIPAL, MUNICIPAL FUND	Y	LOCUST VALLEY, NY, United States

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Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
		MUNICIPAL FUND PRINCIPAL		
07/1989 - 07/2020	PROVIDENT MUTUAL LIFE INS. CO.	OTHER - AGENT/BROKER	N	PHILA, PA, United States
05/1981 - 07/2020	RETIREMENT PLANNING & ADMINISTRATION INC	PRESIDENT/PENSION CONSULTANT	N	LOCUST VALLEY, NY, United States
12/1977 - 07/2020	DIEFENDORF PLANNING SERVICES, LTD	PRESIDENT/INSURANCE BROKERAGE	N	LOCUST VALLEY, 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.

1) 93 MAIN STREET ASSOCIATES, INC. No investment related. Start date: 01/01/2012. Address: 12 Waylor Lane, Laurel Hollow NY, 11791. Title: President. Duties: Administrative and accounting duties. Time spent during regular hours: 0%.

2) 152 FOREST AVE ASSOCIATES, INC. Not investment related. Start date: 01/31/2011. Address: 12 Waylor Lane, Laurel Hollow NY, 11791. Title: President. Duties: Administrative, accounting duties. Time spent during regular hours: 0%

3) More Than Money Trust Company. Not investment related. Start date: 01/01/2012. Address: 12 Waylor Lane, Laurel Hollow NY 11791. Title: Chairman of the Board. Duties: Preside over the quarterly Board meetings. Time spent during regular hours: 5%

4) ARGONNE, LLC. Not investment related. Start date: 01/01/2012. Address: 12 Waylor Lane, Laurel Hollow NY, 11791. Title: Managing Member. Duties: Administrative & accounting. Time spent during regular hours: 5%

5) ESTEY REALTY, LLC. Not investment related. Start date: 05/01/2015. Address: 12 Waylor Lane, Laurel Hollow NY, 11791. Title: Managing Member. Duties: Administrative duties. Time spent during regular hours: 0%

6) MONROE INSURANCE DEDICATED FUNDS, LLC; ADMINISTRATION; 2 HOUR/MONTH

7) 3 DIMENSIONAL WEALTH ADVISORY, LLC. Not investment related. Start date: 02/07/2014. Address: 12 Waylor Lane, Laurel Hollow NY, 11791. Title: Managing Member. Duties: Administrative. Time spent during regular hours: 0%

8) MTM ADVISORY LLC. Not investment related. Start date: 08/15/2018. Address: 12 Waylor Lane, Laurel Hollow NY, 11791. Title: Managing Member. Duties: Administrative, accounting functions. Time spent during regular hours: 30%

9) ASPIDA360, INC / ASPIDA ADVISORY Inc. Not investment related. Start date: 10/07/2016. Address: 12 Waylor Lane, Laurel Hollow NY, 11791. Title: Treasurer. Duties: Administrative, accounting. Time spent during regular hours: 10%

10) MORE THAN MONEY FAMILY OFFICE, LLC. Not investment related. Start date: 01/01/2011. Address: 12 Waylor Lane, Laurel Hollow NY, 11791. Title: Managing Member. Duties: Administrative. Time spent during regular hours: 5%

11) MTM EDUCATIONAL RESOURCES, INC. Not investment related. Start date: 08/21/2018. Address: 12 Waylor Lane, Laurel Hollow NY, 11791. Title: Managing Member. Duties: Promoting "More Than Money" Education. Time spent during regular hours: 0%

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Registration & Employment History

OTHER BUSINESS ACTIVITIES

12) Mitchell Hamline School of Law. Not investment related. Start date: 04/02/2024. Address: 12 Waylor Lane, Laurel Hollow NY, 11791. Title: Adjunct Professor. Duties: I will be conducting an Externship for law school students that sign up for my 13 week program. Time spent during regular hours: 5%.

13) ULTRA HIGH NET WORTH INSTITUTE LOCATED AT 12 WAYLOR LANE, LAUREL HOLLOW, NY 11791. START DATE: 12/01/2021. POSITION: FACULTY MEMBER. NATURE: "THINK TANK" OF LEADING INDUSTRY PROFESSIONALS WHO WORK IN THE ULTRA HIGH NET WORTH ARENA,. DUTIES: WRITING AT LEAST ONE ORIGINAL PIECE FOR THE INSTIUTIE RESOURCE CENTER APPROXIMATELY 5 HOURS PER MONTH WITH 1% DURING SECURITIES TRADING HOURS

14) IARFC - Board of Directors. Not investment related. Start date: 11/24/2021. Address: 12 Waylor Lane, Laurel Hollow NY, 11791. Title: Board of Directors/Treasurer. Duties: Oversee the association during the quarterly Board meetings, I have no access to the assets of the organization. My responsibilities are supervisory only. Time spent during regular hours: 0%.

14) MTM Advisory. Not investment related. Start date: 2022-10-18. Address: 12 Waylor Lane, Laurel Hollow NY, 11791. Title: Managing Member. Duties: Day-to-day operations. Time spent during regular hours: 100%.

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End of Report

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