

## BrokerCheck Report

### JOHN ROBERT MONGOLD

CRD# 3212625

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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.

## About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

**Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at [brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).

**JOHN R. MONGOLD**

CRD# 3212625

**Currently employed by and registered with the following Firm(s):****IA MORGAN STANLEY**

1747 Pennsylvania Ave  
Nw Ste 900  
Washington, DC 20006  
CRD# 149777

Registered with this firm since: 06/04/2024

**B MORGAN STANLEY**

1747 Pennsylvania Ave  
Nw Ste 900  
Washington, DC 20006  
CRD# 149777

Registered with this firm since: 05/30/2024

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications****This broker is registered with:**

- 4 Self-Regulatory Organizations
- 26 U.S. states and territories

**This broker has passed:**

- 0 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 1 State Securities Law Exam

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

**Registration History****This broker was previously registered with the following securities firm(s):****B M&T SECURITIES, INC.**

CRD# 17358  
BALTIMORE, MD  
07/2015 - 06/2021

**IA M&T SECURITIES, INC.**

CRD# 17358  
BUFFALO, NY  
06/2015 - 06/2021

**IA LINCOLN FINANCIAL ADVISORS**

**CORPORATION**  
CRD# 3978  
FORT WAYNE, IN  
09/2012 - 11/2013

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 4 SROs and is licensed in 26 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **MORGAN STANLEY**

Main Office Address: **2000 WESTCHESTER AVENUE  
PURCHASE, NY 10577-2530**

Firm CRD#: **149777**

SRO	Category	Status	Date
<span style="color: blue;">B</span> FINRA	General Securities Representative	Approved	05/30/2024
<span style="color: blue;">B</span> NYSE American LLC	General Securities Representative	Approved	05/30/2024
<span style="color: blue;">B</span> Nasdaq Stock Market	General Securities Representative	Approved	05/30/2024
<span style="color: blue;">B</span> New York Stock Exchange	General Securities Representative	Approved	05/30/2024

U.S. State/ Territory	Category	Status	Date
<span style="color: blue;">B</span> Alabama	Agent	Approved	07/22/2025
<span style="color: blue;">B</span> Arizona	Agent	Approved	07/29/2025
<span style="color: blue;">B</span> California	Agent	Approved	06/05/2024
<span style="color: blue;">B</span> Colorado	Agent	Approved	07/02/2024
<span style="color: blue;">B</span> Connecticut	Agent	Approved	06/05/2024
<span style="color: blue;">B</span> Delaware	Agent	Approved	07/22/2025
<span style="color: blue;">IA</span> District of Columbia	Investment Adviser Representative	Approved	06/04/2024
<span style="color: blue;">B</span> District of Columbia	Agent	Approved	06/05/2024
<span style="color: blue;">B</span> Florida	Agent	Approved	06/05/2024

## Broker Qualifications



## Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Georgia	Agent	Approved	07/22/2025
B Illinois	Agent	Approved	07/21/2025
B Kentucky	Agent	Approved	07/21/2025
B Louisiana	Agent	Approved	08/01/2025
B Maryland	Agent	Approved	07/02/2024
B Massachusetts	Agent	Approved	07/01/2024
B Missouri	Agent	Approved	08/01/2025
B New Jersey	Agent	Approved	11/11/2024
B New York	Agent	Approved	07/02/2024
B North Carolina	Agent	Approved	07/02/2024
B Ohio	Agent	Approved	07/22/2025
B Pennsylvania	Agent	Approved	07/01/2024
B South Carolina	Agent	Approved	06/24/2024
B Tennessee	Agent	Approved	07/22/2025
B Texas	Agent	Approved	07/21/2025
IA Texas	Investment Adviser Representative	Approved	07/25/2025
B Utah	Agent	Approved	07/22/2025
B Virginia	Agent	Approved	07/02/2024
IA Virginia	Investment Adviser Representative	Approved	07/02/2024
B Wisconsin	Agent	Approved	08/06/2025

## Broker Qualifications



### Employment 1 of 1, continued

#### Branch Office Locations

##### MORGAN STANLEY

1747 Pennsylvania Ave

Nw Ste 900

Washington, DC 20006

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## Broker Qualifications



### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 0 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	02/11/2024
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	09/04/2012
B PCX Market Maker Exam	Series 44	03/24/2009

### State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	05/13/2024

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



### Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

# Registration and Employment History



## Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 07/2015 - 06/2021	M&T SECURITIES, INC.	17358	BALTIMORE, MD
IA 06/2015 - 06/2021	M&T SECURITIES, INC.	17358	Washington, DC
IA 09/2012 - 11/2013	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	EDISON, NJ
B 09/2012 - 11/2013	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	EDISON, NJ
B 04/2009 - 09/2010	GROUP ONE TRADING, L.P.	37484	CHICAGO, IL
B 04/2006 - 10/2007	GROUP ONE TRADING, L.P.	37484	CHICAGO, IL
B 02/2000 - 08/2000	FOLIO[FN] INVESTMENTS, INC.	48015	MCLEAN, VA
B 05/1999 - 02/2000	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
B 05/1999 - 02/2000	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN

## Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
06/2024 - Present	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
05/2024 - Present	MORGAN STANLEY SMITH BARNEY LLC	PRIVATE WEALTH ADVISOR	Y	WASHINGTON, DC, United States
02/2014 - 05/2024	WILMINGTON TRUST	INVESTMENT ADVISOR	Y	BALTIMORE, MD, United States

## Registration and Employment History



### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

\*596810 - George Mason University Honors College Advisory Board; Investment Related - No; Fairfax, Virginia; Public Schools; Advisory Board(Proprietor, Partner, Officer, Director, Employee, Trustee, Agent); 08/2019; During Business Hours: 2; After Business Hours: 3; Fundraising

\*633405 - AFCEA; Investment related: No; Fairfax; Virginia; Technology, Consulting; Treasurer of Belvoir Chapter (Proprietor, Partner, Officer, Director, Employee, Trustee, Agent); 05/2025; During Business Hours: 1; After Business Hours: 9; Accounting/Bookkeeping

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## End of Report



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