

BrokerCheck Report

MALLORY WARREN

CRD# 6849360

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6



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.

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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



For additional information about the contents of this report, please refer to the User Guidance or 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)

MALLORY WARREN

CRD# 6849360

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

This broker was previously registered with the following securities firm(s):

- B FIDELITY BROKERAGE SERVICES LLC**
CRD# 7784
PHOENIX, AZ
04/2021 - 08/2025
- B VANGUARD MARKETING CORPORATION**
CRD# 7452
SCOTTSDALE, AZ
10/2017 - 04/2021

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**

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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 broker is not currently registered.



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	04/29/2022
B General Securities Sales Supervisor - Options Module Examination	Series 9	03/02/2022

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	10/13/2017

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	10/20/2017

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/.



Broker Qualifications

Professional Designations

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

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 04/2021 - 08/2025	FIDELITY BROKERAGE SERVICES LLC	7784	PHOENIX, AZ
B 10/2017 - 04/2021	VANGUARD MARKETING CORPORATION	7452	SCOTTSDALE, AZ

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
08/2025 - Present	Aerden LLC	Founder/Managing Member	Y	Huntersville, NC, United States
03/2025 - 08/2025	Fidelity Investments	Mass Transfer	Y	BOSTON, MA, United States
03/2021 - 08/2025	FIDELITY INVESTMENTS	FINANCIAL REPRESENTATIVE	Y	PHOENIX, AZ, United States
07/2019 - 03/2021	The Vanguard Group, Inc.	Registered Person	Y	Scottsdale, AZ, United States
08/2017 - 07/2019	The Vanguard Group, Inc.	Registered Person	Y	Charlotte, NC, United States
02/2018 - 04/2019	American Airlines	Customer Service	N	Charlotte, NC, United States
11/2016 - 08/2017	Acopia Home Loans	Loan Officer Assistant	N	Charlotte, NC, United States
05/2015 - 11/2016	Peninsula Club	Tennis Instructor	N	Cornelius, NC, United States

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.

Name of other business:

Down to Invest (digital media brand)

Is the business investment-related?

No



Registration and Employment History

Other Business Activities, continued

Address of the other business:

13243 Fremington Rd. Huntersville, NC 28078

Nature of the other business:

Digital media content creation and general financial education

Your position / title / relationship:

Owner and Content Creator

Start date of your relationship:

Aug 2025

Approximate number of hours per month devoted:

40 hours per month

Number of hours during securities trading hours:

0 hours

Creation of general financial education and informational content for the public through digital and social media platforms. This activity is non-advisory, non-individualized, and does not involve the provision of investment advice or the solicitation or servicing of advisory clients. Appropriate disclosures are provided to distinguish educational content from fiduciary advisory services offered by Aerden LLC.

Name of other business:

Licensed Insurance Agent (individual capacity)

Is the business investment-related?

No

Address of the other business:

13243 Fremington Rd. Huntersville, NC 28078

Nature of the other business:

Holding of an active insurance license in an individual capacity

Position / title / relationship:

Licensed Insurance Agent

Start date of relationship:

Nov 2024

Approximate number of hours per month devoted:

0 hours

Number of hours during securities trading hours:

0 hours

Maintains an active insurance license in an individual capacity. Any insurance-related activities are conducted separately from Aerden LLC and are not offered through or in connection with the Firm's investment advisory services. Aerden LLC does not sell insurance products, and no insurance recommendations are made as part of the Firm's fiduciary advisory services.

End of Report



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