



IAPD Report

THOMAS ERNEST GOSS JR

CRD# 1001603

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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

THOMAS ERNEST GOSS JR (CRD# 1001603)

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 **03/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	01/20/2017
IA	MORGAN STANLEY	CRD# 149777	02/06/2017

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **45** 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	BMO CAPITAL MARKETS CORP.	16686	NEW YORK, NY	07/21/2010 - 01/04/2017
B	STEPHENS	3496	NEW YORK, NY	04/27/2009 - 05/20/2010
B	BARCLAYS CAPITAL INC.	19714	NEW YORK, NY	09/22/2008 - 04/23/2009

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	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 **45** 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	01/20/2017
B FINRA	General Securities Sales Supervisor	Approved	12/10/2018
B NYSE American LLC	General Securities Representative	Approved	01/20/2017
B NYSE American LLC	General Securities Sales Supervisor	Approved	12/10/2018
B NYSE American LLC	Securities Manager	Approved	12/10/2018
B Nasdaq Stock Market	General Securities Representative	Approved	01/20/2017
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	12/10/2018
B New York Stock Exchange	General Securities Representative	Approved	01/20/2017
B New York Stock Exchange	General Securities Sales Supervisor	Approved	12/10/2018
B New York Stock Exchange	Securities Manager	Approved	12/10/2018
B Alaska	Agent	Approved	04/15/2020
B Arizona	Agent	Approved	04/15/2020
B Arkansas	Agent	Approved	04/15/2020



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	01/20/2017
B Colorado	Agent	Approved	04/15/2020
B Connecticut	Agent	Approved	01/20/2017
IA Connecticut	Investment Adviser Representative	Approved	02/24/2017
B Delaware	Agent	Approved	01/20/2017
B District of Columbia	Agent	Approved	01/20/2017
B Florida	Agent	Approved	01/23/2017
B Georgia	Agent	Approved	01/26/2017
B Illinois	Agent	Approved	01/23/2017
B Indiana	Agent	Approved	06/27/2025
B Kansas	Agent	Approved	04/20/2020
B Kentucky	Agent	Approved	01/23/2017
B Louisiana	Agent	Approved	01/02/2019
B Maine	Agent	Approved	01/23/2017
B Maryland	Agent	Approved	01/20/2017
B Massachusetts	Agent	Approved	01/24/2017
B Michigan	Agent	Approved	01/24/2017
B Minnesota	Agent	Approved	01/25/2017
B Missouri	Agent	Approved	02/18/2020



Qualifications

Regulator	Registration	Status	Date
B Montana	Agent	Approved	04/15/2020
B Nebraska	Agent	Approved	04/22/2021
B Nevada	Agent	Approved	04/20/2020
B New Hampshire	Agent	Approved	01/23/2017
B New Jersey	Agent	Approved	01/20/2017
B New Mexico	Agent	Approved	04/23/2020
B New York	Agent	Approved	01/20/2017
IA New York	Investment Adviser Representative	Approved	06/16/2021
B North Carolina	Agent	Approved	01/24/2017
B Ohio	Agent	Approved	01/20/2017
B Oregon	Agent	Approved	04/15/2020
B Pennsylvania	Agent	Approved	01/20/2017
B Puerto Rico	Agent	Approved	04/21/2020
B Rhode Island	Agent	Approved	01/23/2017
B South Carolina	Agent	Approved	01/23/2017
B South Dakota	Agent	Approved	06/09/2025
B Tennessee	Agent	Approved	03/31/2020
B Texas	Agent	Approved	01/23/2017
IA Texas	Investment Adviser Representative	Restricted	02/06/2017



Qualifications

Regulator	Registration	Status	Date
		Approval	
B Utah	Agent	Approved	04/15/2020
B Vermont	Agent	Approved	01/23/2017
B Virginia	Agent	Approved	01/20/2017
B Washington	Agent	Approved	01/25/2017
B West Virginia	Agent	Approved	04/15/2020
B Wisconsin	Agent	Approved	04/15/2020
B Wyoming	Agent	Approved	01/04/2019

Branch Office Locations

MORGAN STANLEY
55 East 52nd Street
28th Floor
New York, NY 10055



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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	04/18/2001
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/29/2001

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Interest Rate Options Examination (S5)	Series 5	10/17/1981
General Securities Representative Examination (S7)	Series 7	06/20/1981

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	02/06/2017
Uniform Securities Agent State Law Examination (S63)	Series 63	04/29/1981

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
B	07/21/2010 - 01/04/2017	BMO CAPITAL MARKETS CORP.	CRD# 16686	NEW YORK, NY
B	04/27/2009 - 05/20/2010	STEPHENS	CRD# 3496	NEW YORK, NY
B	09/22/2008 - 04/23/2009	BARCLAYS CAPITAL INC.	CRD# 19714	NEW YORK, NY
B	02/23/1995 - 09/22/2008	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	07/18/1991 - 12/22/1994	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	05/12/1982 - 11/10/1989	MCDONALD & COMPANY SECURITIES, INC.	CRD# 566	CLEVELAND, OH
B	10/22/1981 - 05/17/1982	SHEARSON LOEB RHOADES INC.	CRD# 7506	

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
01/2017 - Present	MORGAN STANLEY PRIVATE BANK, N.A.	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
01/2017 - Present	MORGAN STANLEY SMITH BARNEY LLC	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
07/2010 - 12/2016	BMO CAPITAL MARKETS CORP.	MANAGING DIRECTOR	Y	NEW YORK, 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.

Rental Property; Kiawah Island, SC; Investment related; Sole Proprietor / Owner / Partner; Rental; 2017; 0,0

*377903 - St James' Church; Investment Related - No; New York, New York; Church Vestry; Advisory Board, Audit Committee (Proprietor, Partner, Officer, Director, Employee, Trustee, Agent); 09/2019; During Business Hours: 0; After Business Hours: 6; Fundraising, General mission outreach of the parish; vote on operating budget and financials with no investment advise being provided



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	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/18/1983
Docket/Case Number:	CLE-248
Employing firm when activity occurred which led to the regulatory action:	MCDONALD & CO.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	09/07/1983
Sanctions Ordered:	Censure Monetary/Fine \$250.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	COMP #CLE-248, FILED 2/18/83, DIST. #9 ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT



GOSS OPENED AN OPTIONS ACCOUNT, ON BEHALF OF A CUSTOMER, BY SIGNING THE CUSTOMER'S NAME TO THE OPTIONS TRADING AGREEMENT AND THEREAFTER EFFECTED A TRANSACTION IN THE ACCOUNT, WHICH TRANSACTION WAS PAID FOR BY GOSS, ALL WITHOUT THE KNOWLEDGE OR CONSENT OF HIS EMPLOYER, MCDONALD & CO. ****DECISION RENDERED 9/7/83, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY GOSS IS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$250. ALL RIGHTS OF APPEAL AND REVIEW HAVE BEEN WAIVED, THIS DECISION WAS FINAL 9/7/83. ****9/30/83, FC #8535 PAID IN FULL.

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Reporting Source: Firm

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

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 02/18/1983

Docket/Case Number: CLE-248

Employing firm when activity occurred which led to the regulatory action: MCDONALD & CO.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 09/07/1983

Sanctions Ordered: Censure
Monetary/Fine \$250.00

Other Sanctions Ordered:

Sanction Details:

Firm Statement GOSS WAS THE SUBJECT OF NASD COMPLAINT #CLE-248, FILED ON 9/7/83.

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Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 02/18/1983

Docket/Case Number: CLE-248



Employing firm when activity occurred which led to the regulatory action:	MCDONALD & CO.
Product Type:	
Other Product Type(s):	
Allegations:	THE CUSTOMER COMPLAINED ABOUT AN OPTION TRANSACTION FOR LESS THAN \$1000. WHICH WENT SOUR. THE CUSTOMER THEN REFUSED TO PAY. I PAID AND SUBSEQUENTLY ADMITTED THE MISTAKE OF THIS ACTION
Current Status:	Final
Resolution:	Consent
Resolution Date:	09/07/1983
Sanctions Ordered:	Censure Monetary/Fine \$250.00
Other Sanctions Ordered:	
Sanction Details:	FINE & CENSURE
Broker Statement	THE NASD EXAMINER QUESTIONED ME . I ADMITTED THE FACT THAT I PAID THE CUSTOMER BILL FOR THE PURCHASE OF OPTIONS. I AGREED THAT IT WAS WRONG AND THAT I WOULD PAY AND FINE OF \$250- AND BE CENSURED SEE ATTACHED SHEET.



End of Report

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