



IAPD Report

LAWRENCE JAY SOLOMON

CRD# 1060442

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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

LAWRENCE JAY SOLOMON (CRD# 1060442)

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 **06/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	08/17/2012
IA	MORGAN STANLEY	CRD# 149777	08/20/2012

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **18** 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	RBC CAPITAL MARKETS, LLC	31194	BEVERLY HILLS, CA	05/02/2002 - 09/04/2012
B	RBC CAPITAL MARKETS, LLC	31194	BEVERLY HILLS, CA	03/09/2002 - 09/04/2012
B	SUTRO & CO. INCORPORATED	801	SAN FRANCISCO, CA	09/09/1993 - 03/09/2002

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
Customer Dispute	4



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 **18** 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	08/17/2012
B NYSE American LLC	General Securities Representative	Approved	08/17/2012
B Nasdaq Stock Market	General Securities Representative	Approved	08/17/2012
B New York Stock Exchange	General Securities Representative	Approved	08/17/2012
B Arizona	Agent	Approved	08/17/2012
B California	Agent	Approved	08/20/2012
IA California	Investment Adviser Representative	Approved	08/20/2012
B Connecticut	Agent	Approved	08/20/2012
B Delaware	Agent	Approved	05/17/2024
B Florida	Agent	Approved	08/17/2012
B Georgia	Agent	Approved	08/17/2012
B Illinois	Agent	Approved	08/17/2012
B Iowa	Agent	Approved	09/05/2012



Qualifications

Regulator	Registration	Status	Date
B Kansas	Agent	Approved	08/17/2012
B Maryland	Agent	Approved	08/17/2012
B Massachusetts	Agent	Approved	08/17/2012
B Nevada	Agent	Approved	03/05/2019
B New York	Agent	Approved	08/17/2012
B North Carolina	Agent	Approved	03/19/2020
B Ohio	Agent	Approved	08/17/2012
B South Carolina	Agent	Approved	10/29/2015
B Utah	Agent	Approved	08/21/2012
B Wyoming	Agent	Approved	10/30/2023

Branch Office Locations

MORGAN STANLEY
2829 Townsgate Road
Suite 200
Westlake Village, CA 91361



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B National Commodity Futures Examination (S3)	Series 3	09/29/1982
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B General Securities Representative Examination (S7)	Series 7	09/18/1982
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	05/01/2002
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B Uniform Securities Agent State Law Examination (S63)	Series 63	05/19/1983
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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	05/02/2002 - 09/04/2012	RBC CAPITAL MARKETS, LLC	CRD# 31194	BEVERLY HILLS, CA
B	03/09/2002 - 09/04/2012	RBC CAPITAL MARKETS, LLC	CRD# 31194	BEVERLY HILLS, CA
B	09/09/1993 - 03/09/2002	SUTRO & CO. INCORPORATED	CRD# 801	SAN FRANCISCO, CA
B	06/20/1989 - 09/22/1993	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	09/27/1982 - 06/13/1989	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	

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
01/2015 - Present	MORGAN STANLEY PRIVATE BANK, N.A.	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
08/2012 - Present	MORGAN STANLEY SMITH BARNEY LLC	FINANCIAL ADVISOR	Y	WESTLAKE VILLAGE, CA, 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.



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
Customer Dispute	4

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: IN

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/16/1998

Docket/Case Number: 98-0216 RA

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: Not Provided

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 11/16/1998

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: Not Provided

Regulator Statement ON 11/16/98 THE INDIANA SECURITIES DIVISION



ENTERED INTO AN ORDER OF RESTRICTIVE AGREEMENT WITH LAWRENCE SOLOMON WHEREBY SOLOMON'S REGISTRATION IN THE STATE OF INDIANA WAS APPROVED BASED UPON THE CONDITIONS IN THE RESTRICTIVE AGREEMENT. CONTACT: JEFFREY M. GERSHON (317) 232-6681

Reporting Source: Individual

Regulatory Action Initiated By: INDIANA SECURITIES DIVISION

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/16/1998

Docket/Case Number: 98-0216 RA

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

Product Type: No Product

Other Product Type(s):

Allegations: APPLICATION FOR REGISTRATION.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 11/16/1998

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: ON 11/16/1998 THE INDIANA SECURITIES DIVISION ENTERED INTO AN ORDER OF RESTRICTIVE AGREEMENT WITH MR. SOLOMON WHEREBY MR. SOLOMON'S REGISTRATION IN THE STATE OF INDIANA WAS APPROVED BASED UPON THE CONDITIONS IN THE RESTRICTIVE AGREEMENT.

Broker Statement PLEASE NOTE: I HAVE RECEIVED THE NEW DISCLOSURE QUESTIONS 14D2 (A) & (B) AND BELIEVE THIS ACTION IS NOT RESPONSIVE TO THESE NEW QUESTIONS. SPECIFICALLY I WAS NOT "BARRED" FROM ANY ASSOCIATION WITH AN ENTITY REGULATED BY A STATE AUTHORITY THAT SUPERVISES OR EXAMINES BANKS, SAVING ASSOCIATES, OR CREDIT UNIONS, STATE INSURANCE COMMISSION. FURTHER MORE, THE UNDERLYING FACTS DO NOT REFERENCE ALLEGATION OF "FRAUDULENT MANIPULATIVE OR DECEPTIVE CONDUCT" AS I UNDERSTAND THESE TERMS.



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SUTRO & CO.

Allegations: CLIENT ALLEGES THAT THE REGISTERED REPRESENTATIVE FAILED TO FOLLOW HIS INSTRUCTIONS WITH RESPECT TO THE LEVEL OF RISK DESIRED IN THE INVESTMENTS IN HIS ACCOUNT. NO SPECIFIC DAMAGES ARE ALLEGED, BUT IT IS BELIEVED THAT LOSSES IN THE ACCOUNT EXCEED \$5,000. THIS OCCURED AT SUTRO & CO.

Product Type: Equity - OTC

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 04/22/1999

Complaint Pending? No

Status: Denied

Status Date: 08/09/1999

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FIRM DENIED THE CLIENT'S REQUEST FOR COMPENSATION. TO DATE, CUSTOMER HAS NOT PURSUED THE CLAIM.
BROKER'S RESPONSE:
THE ALLEGATIONS ARE WHOLLY WITHOUT MERIT. WE HAD NUMEROUS MEETINGS WITH THE CLIENTS OVER THE COURSE OF ALMOST 2 YEARS BOTH IN PERSON AND TELEPHONICALLY. THESE MEETINGS WERE PRECEDED AND FOLLOWED UP BY LETTER, FAXES AND FREQUENT E-MAILS. OUR BRANCH MANAGER PERSONALLY CONTACTED THE CLIENTS ON NO FEWER THAN THREE OCCASIONS TO FOLLOW UP AND INQUIRE AS TO THE CLIENT'S SATISFACTION WITH HOW THE ACCOUNT WAS BEING HANDLED. AT NO TIME PRIOR TO THIS COMPLAINT DID THE CLIENT EXPRESS CONCERNS THAT HIS OBJECTIVES WEREN'T BEING MET. INDEED, THE CLIENT TRACKED HIS INVESTMENTS CLOSELY AND, OVER TIME, BECAME MORE ACTIVELY INVOLVED IN DEVISING INVESTMENT STRATEGY IN HIS ACCOUNT. ONLY AFTER THE MARKET DECLINED WERE THESE UNFOUNDED ALLEGATIONS MADE.

Disclosure 2 of 4

Reporting Source: Individual

**Employing firm when activities occurred which led to the complaint:****Allegations:**

CLIENT ALLEGED THAT THE BROKER USED FUNDS DESIGNATED FOR SHORT-TERM INVESTMENT TO PURCHASE SHARES OF A MUTUAL FUND. THE RESULTING SALES CHARGE UPON LIQUIDATION WOULD HAVE TOTALLED APPROXIMATE \$6,000. THE CLIENT ALSO ALLEGED THAT CERTAIN TRANSACTION WERE UNAUTHORIZED.

Product Type:**Alleged Damages:****Customer Complaint Information****Date Complaint Received:** 03/15/1999**Complaint Pending?** No**Status:** Settled**Status Date:** 03/18/1999**Settlement Amount:** \$513.63**Individual Contribution Amount:****Broker Statement**

LOSS TO THE FIRM WAS APPROXIMATELY \$513.63. THE BROKER BELIEVES THAT THE PURCHASE OF THE MUTUAL FUNDS WAS CONSISTENT WITH PRIOR INVESTMENTS AND VEHEMENTLY DENIED ANY UNAUTHORIZED TRADING IN THE ACCOUNT. HOWEVER, DISCUSSION WITH THE CLIENT RESULTED IN RECISSION OF THE MUTUAL FUND TRANSACTIONS. THE CLIENT DID NOT PURSUE THE ALLEGATION OF UNAUTHORIZED TRADING IN DISCUSSION WITH THE FIRM. THE CLIENT LATER ASSERTED THAT THE CONCERNS EXPRESSED WERE THE RESULT OF GROSS MISUNDERSTANDING.

Disclosure 3 of 4**Reporting Source:** Firm**Employing firm when activities occurred which led to the complaint:** SUTRO & CO. INCORPORATED**Allegations:****Product Type:****Alleged Damages:** \$1,000,000.00**Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Status:** Litigation**Status Date:** 04/09/1997



Settlement Amount:

Individual Contribution

Amount:

Civil Litigation Information

Court Details: SUPERIOR; VENTURA COUNTY, CA; CIV. 163896

Date Notice/Process Served: 05/13/1996

Litigation Pending? No

Disposition: Settled

Disposition Date: 04/09/1997

Monetary Compensation Amount: \$169,500.00

Individual Contribution

Amount:

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SUTRO & CO. INCORPORATED

Allegations: ALLEGED FRAUD, NEGLIGENT MISREPRESENTATION, BREACH OF FIDUCIARY CONTRACT, CONVERSION, AND CONSPIRACY TO DEFRAUD ARISING OUT OF ALLEGED FAILURE OF SUTRO AND SOLOMON TO SERVE AS INVESTMENT BANKER AND RAISE INVESTMENT CAPITAL. ALLEGED DAMAGES ARE \$1 MILLION.

Product Type:

Alleged Damages: \$1,000,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date: 04/09/1997

Settlement Amount:

Individual Contribution

Amount:

Civil Litigation Information

Court Details: SUPERIOR; VENTURA COUNTY, CA; CIV. 163896

Date Notice/Process Served: 05/13/1996

Litigation Pending? No

Disposition: Settled

Disposition Date: 04/09/1997

Monetary Compensation Amount: \$169,500.00

**Individual Contribution Amount:****Broker Statement**

SUTRO AND I RELUCTANTLY ACCEPTED PLAINTIFF`S STATUTORY OFFER OF COMPROMISE IN THE AMOUNT OF \$169,500 SOLELY TO AVOID FURTHER LITIGATION EXPENSE AND RISK. SUTRO AND I VIGOROUSLY DEFENDED THIS MATTER BECAUSE IT WAS WITHOUT MERIT AND HAD NO BASIS IN EITHER FACT OR LAW. NEITHER I NOR SUTRO ENTERED INTO ANY AGREEMENT PURSUANT TO WHICH SUTRO AND I WERE EITHER TO SERVE AS INVESTMENT BANKER OR TO RAISE INVESTMENT CAPITAL. I VIEW THIS CLAIM AS AN ABUSE OF THE JUDICIAL PROCESS AND A DEFAMATION OF MY REPUTATION IN AN ATTEMPT TO FUND A FAILING BUSINESS. AT THE TIME THE STATUTORY OFFER WAS MADE THE PROJECTED COST OF DEFENSE THROUGH TRIAL WAS SUBSTANTIALLY EQUAL TO THE OFFER. WE MADE A BUSINESS DECISION TO SETTLE IN LIGHT OF THE PROJECTED COST OF DEFENSE AND THE SUBSTANTIAL COMMITMENT OF TIME NEEDED TO COMPLETE A MULTI-PARTY JURY TRIAL.

Disclosure 4 of 4**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

DREXEL BURNHAM LAMBERT

Allegations:

MISREPRESENTATION/UNSUITABILITY RE CLIENT PURCHASE OF COLONIAL U.S. GOVERNMENT SECURITIES TRUST FUND. CLIENT SOUGHT REIMBURSEMENT OF MONIES LOST ON THE INVESTMENT.

Product Type:**Alleged Damages:**

\$11,047.80

Customer Complaint Information**Date Complaint Received:****Complaint Pending?**

No

Status:

Arbitration/Reparation

Status Date:**Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:**

PACIFIC STOCK EXCHANGE; ARL-04188

Date Notice/Process Served:

08/20/1987

Arbitration Pending?

No

Disposition:

Award to Customer



Disposition Date: 05/09/1990

Monetary Compensation Amount: \$14,353.57

Individual Contribution Amount:

Broker Statement

ARBITRATION RULED IN FAVOR OF THE CLAIMANT, [CUSTOMER], AWARDING HER \$10,036.30, PLUS INTEREST, & \$300 FILING FEE. TOTAL AWARD \$14,353.57 VS DREXEL BURNHAM LAMBERT & LAWRENCE SOLOMON JOINTLY & SEVERALLY, AS PER THE SUPERIOR COURT OF THE STATE OF CALIFORNIA CASE # BS 008834 DATED 8/21/91. SOLOMON WAS COMPELLED TO PAY THE ENTIRE AMOUNT OF THE AWARD DUE TO DREXEL'S BANKRUPTCY BAR. [CUSTOMER] PURCHASED WITH FULL KNOWLEDGE & CONSENT 12136 SHARES OF COLONIAL US GOVT TRUST. IN 8/87 [CUSTOMER] CONTACTED DBL RE DISSATISFACTION & REQUESTED SHARES SOLD. DBL DENIED ANY WRONGDOING, THUS [CUSTOMER] FILED FOR ARBITRATION. SOLOMON LEFT DBL AFTER THE CLOSING OF ITS RETAIL OPERATION. THE NEXT NOTIFICATION TO SOLOMON WAS THE ARBITRATION AWARD. SOLOMON WAS NOT NOTIFIED OF THE ARBITRATION, NOR DID COUNSEL APPEAR FOR HIM OR DBL. THE ARB AWARD WAS CONFIRMED ON 8/22/91, HOWEVER SOLOMON IS BARRED FROM MAKING ANY CLAIM TO DBL DUE TO THEIR BANKRUPTCY. SOLOMON DENIES ANY WRONGDOING IN CONNECTION WITH THIS MATTER.



End of Report

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