



IAPD Report

NINA BRYAN NITTI

CRD# 1087137

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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

NINA BRYAN NITTI (CRD# 1087137)

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 **03/31/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	06/01/2009
IA	MORGAN STANLEY	CRD# 149777	06/01/2009

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **37** 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	MORGAN STANLEY & CO. INCORPORATED	8209	OCEANSIDE, CA	04/02/2007 - 06/01/2009
IA	MORGAN STANLEY & CO. INCORPORATED	8209	OCEANSIDE, CA	04/02/2007 - 06/01/2009
IA	MORGAN STANLEY	7556	OCEANSIDE, CA	11/02/1998 - 04/02/2007

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	3



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 **37** 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	06/01/2009
B NYSE American LLC	General Securities Representative	Approved	06/17/2011
B Nasdaq Stock Market	General Securities Representative	Approved	06/01/2009
B New York Stock Exchange	General Securities Representative	Approved	06/01/2009
B Alabama	Agent	Approved	06/29/2021
B Alaska	Agent	Approved	08/15/2025
B Arizona	Agent	Approved	04/01/2011
B Arkansas	Agent	Approved	09/01/2021
B California	Agent	Approved	06/01/2009
IA California	Investment Adviser Representative	Approved	06/01/2009
B Colorado	Agent	Approved	02/27/2017
B Delaware	Agent	Approved	06/01/2009
B Florida	Agent	Approved	06/01/2009



Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	06/30/2021
B Hawaii	Agent	Approved	06/01/2009
B Idaho	Agent	Approved	09/30/2014
B Illinois	Agent	Approved	10/21/2015
B Indiana	Agent	Approved	09/01/2021
B Iowa	Agent	Approved	07/01/2021
B Kansas	Agent	Approved	06/30/2021
B Kentucky	Agent	Approved	06/29/2021
B Maine	Agent	Approved	06/01/2009
B Maryland	Agent	Approved	06/29/2021
B Massachusetts	Agent	Approved	06/30/2021
B Michigan	Agent	Approved	03/09/2021
B Missouri	Agent	Approved	06/01/2009
B Montana	Agent	Approved	06/30/2021
B Nevada	Agent	Approved	06/01/2009
B New Jersey	Agent	Approved	06/29/2021
B New Mexico	Agent	Approved	06/29/2021
B New York	Agent	Approved	11/07/2013
B North Carolina	Agent	Approved	07/06/2021



Qualifications

Regulator	Registration	Status	Date
B Ohio	Agent	Approved	06/29/2021
B Oklahoma	Agent	Approved	07/18/2018
B Oregon	Agent	Approved	02/26/2016
B Pennsylvania	Agent	Approved	06/30/2021
B Tennessee	Agent	Approved	04/02/2026
B Texas	Agent	Approved	06/01/2009
IA Texas	Investment Adviser Representative	Restricted Approval	07/17/2018
B Utah	Agent	Approved	06/01/2009
B Virginia	Agent	Approved	06/29/2021
B Washington	Agent	Approved	06/01/2009
B Wyoming	Agent	Approved	10/30/2013

Branch Office Locations

MORGAN STANLEY
5796 Armada Drive
Suite 200
Carlsbad, CA 92008



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 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	01/29/1988

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	10/11/1995
General Securities Representative Examination (S7)	Series 7	09/14/1995

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	09/28/1995

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	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	OCEANSIDE, CA
IA	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	OCEANSIDE, CA
IA	11/02/1998 - 04/02/2007	MORGAN STANLEY	CRD# 7556	OCEANSIDE, CA
B	09/15/1995 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	OCEANSIDE, CA
B	05/06/1987 - 07/14/1988	MUTUAL SECURITIES, INC.	CRD# 15222	
B	09/19/1984 - 10/16/1986	INVESTORS INTERNATIONAL SECURITIES, INC.	CRD# 14500	
B	02/24/1984 - 04/26/1984	FIRST WILSHIRE SECURITIES MANAGEMENT, INC.	CRD# 6609	

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
06/2009 - Present	MORGAN STANLEY SMITH BARNEY LLC	FINANCIAL ADVISOR	Y	CARLSBAD, 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	3

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 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	FLORIDA DEPARTMENT OF BANKING AND FINANCE, DIVISION*See FAQ #1*
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/03/1990
Docket/Case Number:	1030-5-2/89
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	SALE OF UNREGISTERED SECURITIES-OPERATING WITHOUT THE BENEFIT OF REGISTRATION-MATERIAL MISREPRESENTATION AND OMISSION OF FACTS, FRAUD, FALSIFYING DOCUMENTS, AND FAILURE TO SUPERVISE.
Current Status:	Final
Resolution:	Decision
Resolution Date:	08/09/1990
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	



Sanction Details: DEPARTMENT INTENDS TO ISSUE CEASE AND DESIST ORDER AND LEVY FINES AND SANCTIONS AGAINST NAMED RESPONDENTS.

Regulator Statement Not Provided

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Reporting Source: Individual

Regulatory Action Initiated By: FLORIDA DEPT. BANK & FINANCE, DIVISION OF SECURITIE*See FAQ #1*

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/03/1990

Docket/Case Number: 1030-5-2/89

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

Product Type:

Other Product Type(s):

Allegations: SALE OF UNREGISTERED SECURITIES-OPERATING WITHOUT THE BENEFIT OF REGISTRATION-MATERIAL MISREPRESENTATION

Current Status: Final

Resolution: Decision

Resolution Date: 08/09/1990

Sanctions Ordered: Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details: CEAST AND DESIST ON MUTUAL SECURITIES. I CANNOT SELL SECURITIES IN THE STATE OF FLORIDA.

Broker Statement I WORKED FOR MUTUAL SECURITIES. A FIRM THAT SOLD CANADIAN GOLD. OUR CLIENTELE WAS NATIONWIDE. I WAS UNAWARE, UNTIL MAY 1988, THAT MUTUAL SECURITIES WAS NOT REGISTERED IN ALL 50 STATES TO SELL SECURITIES. THE CUSTOMER COMPLAINTS NAMED MYSELF AND ALL BROKERS AT MUTUAL SECURITIES IN WRONG DOINGS. THUS, THE STATE OF FLORIDA BANNED ME FROM TRADING SECURITIES.

Disclosure 2 of 3

Reporting Source: Regulator

Regulatory Action Initiated By: GEORGIA

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/08/1989

Docket/Case Number: 50-88-9558(B)



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

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision

Resolution Date: 04/13/1989

Sanctions Ordered: Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details:

Regulator Statement 4/13/89: FORM U6 (8054-7989) DISCLOSES: GEORGIA HAS ISSUED A CEASE & DESIST ORDER AGAINST NINA MARGARET BRYAN FOR THE OFFER AND SALE OF SECURITIES IN GEORIGA AT A TIME WHEN SHE WAS NOT LICENSED TO DO SO. DOCKET/CASE #50-88-9558(B), DATED MARCH 8, 1989

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF GEORGIA

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/08/1989

Docket/Case Number: 50-88-9558(B)

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

Product Type:

Other Product Type(s):

Allegations: GEORGIA HAS ISSUED A CEASE AND DESIST AGAINST NINA MARGARET BRYAN FOR THE OFFER AND SALE OF SECURITIES IN GEORGIA AT A TIME WHEN SHE WAS NOT LICENSED TO DO SO.

Current Status: Final

Resolution: Decision

Resolution Date: 04/13/1989

Sanctions Ordered: Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details: CEASE AND DESIST ORDER AGAINST MYSELF I CAN'T SELL SECURITIES IN THE STATE OF GEORGIA.



Broker Statement I WORKED FOR MUTUAL SECURITIES, A FIRM THAT SOLD CANADIAN GOLD STOCKS. OUR CLIENTELE WAS NATIONWIDE. I WAS UNAWARE, UNTIL MAY 1988, THAT MUTUAL SECURITIES WAS NOT REGISTERED IN ALL 50 STATES TO SELL SECURITIES. THE CUSTOMER COMPLAINTS NAMED MYSELF AND ALL BROKERS AT MUTUAL SECURITIES IN WRONG DOINGS. THUS, THE STATE OF GEORGIA BANNED ME FROM TRADING SECURITIES.

Disclosure 3 of 3

Reporting Source: Regulator

Regulatory Action Initiated By: MONTANA

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/11/1988

Docket/Case Number: 3-8-88-6

Employing firm when activity occurred which led to the regulatory action: MUTUAL SECURITIES, INC.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision

Resolution Date: 12/29/1988

Sanctions Ordered: Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details:

Regulator Statement 8/13/88-FORM U6 (8073-19788) DISCLOSES MUTUAL SECURITIES, INC., BERNARD CLAUDE D'ORNELLAS, NINA MARGARET BRYAN, DAVID HILARY WHITE, DENNIS QUINN FAIRLEY, DAVID TAD KOCKER, AND ROBERT JOHN CHAPMAN, OFFERED AND SOLD UNREGISTERED SECURITIES AND/OR ACTED AS UNREGISTERED SALESMEN. ORDERED TO CEASE AND DESIST FROM FURTHER VIOLATIONS OF SECURITIES ACT OF MONTANA. A HEARING HAS BEEN SET FOR AUGUST 24, 1988, IN ORDER TO DETERMINE WHETHER MUTUAL'S AND D'ORNELLAS' REGISTRATIONS SHOULD BE REVOKED, AND WHETHER FAIRLEY'S REGISTRATION APPLICATION SHOULD BE DENIED. DOCKET/CASE NO. 3-8-88-6, DATED JULY 11, 1988.

2/6/89-AMENDED FORM U6 (8019-01389) DISCLOSES THE CEASE AND DESIST ORDER OF JULY 11, 1988 MADE PERMANENT AS TO RESPONDENTS MUTUAL SECURITIES, INC., D'ORNELLAS, BRYAN, FAIRLEY AND BRYAN. DOCKET/CASE NO. 3-8-88-6, DATED DECEMBER 29, 1988.



Reporting Source: Individual

Regulatory Action Initiated By: STATE OF MONTANA

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/11/1988

Docket/Case Number: 3-8-88-6

Employing firm when activity occurred which led to the regulatory action: MUTUAL SECURITIES, INC.

Product Type:

Other Product Type(s):

Allegations: THE BROKERAGE FIRM WHERE I WAS PREVIOUSLY EMPLOYED, MUTUAL SECURITIES INC., IS INVOLVED IN A STATE VIOLATION OF INVESTMENT REGULATIONS WITH THE STATE OF MONTANA. APPARENTLY THE BROKERS, AS A BROKER, I WAS UNDER THE IMPRESSION I WAS FREE TO DO BUSINESS IN MONTANA. I MADE ONE TRADE WITH A RESIDENT OF MONTANA DURING MY EMPLOYMENT WITH MUTUAL .

Current Status: Final

Resolution: Decision

Resolution Date: 12/29/1988

Sanctions Ordered: Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details: CEASE AND DESIST ORDER AGAINST MUTUAL SECURITIES, CANNOT SELL IN THE STATE OF MONTANA.

Broker Statement I WORKED FOR MUTUAL SECURITIES, A FIRM THAT SOLD CANADIAN GOLD STOCKS, OUR CLIENTELE WAS NATIONWIDE. I WAS UNAWARE, UNTIL MAY 1988, THAT MUTUAL SECURITIES WAS NOT REGISTERED IN ALL 50 STATES TO SELL SECURITIES. THE CUSTOMER COMPLAINTS NAMED MYSELF AND ALL BROKERS AT MUTUAL SECURITIES IN WRONG DOINGS. THUS, THE STATE OF MONTANA BANNED ME FROM TRADING SECURITIES.



End of Report

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