



IAPD Report

KRISTIN MARIE KOTSAKIS

CRD# 1200379

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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

KRISTIN MARIE KOTSAKIS (CRD# 1200379)

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 **05/20/2026**.

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 **34** 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	MORGAN STANLEY & CO. INCORPORATED	8209	OAK BROOK, IL	04/22/2009 - 06/01/2009
B	MORGAN STANLEY & CO. INCORPORATED	8209	OAK BROOK, IL	04/09/2009 - 06/01/2009
IA	NORTHERN TRUST SECURITIES, INC	7927	OAKBROOK TERRACE, IL	03/22/2002 - 04/13/2009

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?

No



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 **34** 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	FINRA	General Securities Sales Supervisor	Approved	11/12/2014
B	NYSE American LLC	General Securities Representative	Approved	06/17/2011
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	06/01/2009
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	11/12/2014
B	New York Stock Exchange	General Securities Representative	Approved	06/01/2009
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Alabama	Agent	Approved	09/05/2024
B	Arizona	Agent	Approved	04/08/2010
B	California	Agent	Approved	07/24/2012
B	Colorado	Agent	Approved	11/30/2012
B	Connecticut	Agent	Approved	02/27/2025



Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	06/01/2009
B	Georgia	Agent	Approved	09/30/2010
B	Hawaii	Agent	Approved	12/16/2021
B	Idaho	Agent	Approved	09/20/2019
B	Illinois	Agent	Approved	06/01/2009
IA	Illinois	Investment Adviser Representative	Approved	06/01/2009
B	Indiana	Agent	Approved	11/01/2012
B	Iowa	Agent	Approved	04/10/2019
B	Kansas	Agent	Approved	02/27/2017
B	Kentucky	Agent	Approved	08/28/2020
B	Maryland	Agent	Approved	10/26/2016
B	Massachusetts	Agent	Approved	08/07/2012
B	Michigan	Agent	Approved	10/08/2012
B	Minnesota	Agent	Approved	02/28/2017
B	Mississippi	Agent	Approved	10/25/2024
B	Missouri	Agent	Approved	08/18/2022
B	Montana	Agent	Approved	06/24/2022
B	Nevada	Agent	Approved	03/28/2014
B	New Jersey	Agent	Approved	06/01/2009



Qualifications

Regulator	Registration	Status	Date
B New Mexico	Agent	Approved	03/02/2017
B New York	Agent	Approved	02/28/2017
B North Carolina	Agent	Approved	11/03/2021
B Ohio	Agent	Approved	06/25/2013
B Pennsylvania	Agent	Approved	02/28/2017
B South Carolina	Agent	Approved	06/01/2009
B Tennessee	Agent	Approved	07/23/2021
B Texas	Agent	Approved	09/18/2012
IA Texas	Investment Adviser Representative	Restricted Approval	04/02/2020
B Virginia	Agent	Approved	02/12/2010
B Washington	Agent	Approved	04/18/2023
B Wisconsin	Agent	Approved	06/01/2009

Branch Office Locations

MORGAN STANLEY
ONE RIVER CENTRE
10 WEST. STATE STREET SUITE 204
GENEVA, IL 60134



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	11/12/2014
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	08/04/2014

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	10/15/1983

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	05/10/2010
Uniform Securities Agent State Law Examination (S63)	Series 63	08/09/1984

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	04/22/2009 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	OAK BROOK, IL
B	04/09/2009 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	OAK BROOK, IL
IA	03/22/2002 - 04/13/2009	NORTHERN TRUST SECURITIES, INC	CRD# 7927	OAKBROOK TERRACE,
B	10/03/2000 - 04/13/2009	VISION INVESTMENT SERVICES, INC.	CRD# 46609	OAK BROOK, IL
B	10/19/1988 - 04/13/2009	NORTHERN TRUST SECURITIES, INC.	CRD# 7927	OAKBROOK TERRACE,
IA	04/09/2009 - 04/09/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	OAK BROOK, IL
B	07/16/1993 - 10/03/2000	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI
B	10/20/1983 - 09/13/1988	ISFA CORPORATION	CRD# 12984	

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, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
01/2013 - Present	MORGAN STANLEY	Financial Advisor	Y	Geneva, IL, 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.



End of Report

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