



IAPD Report

ROBERT EDWIN BERRYHILL

CRD# 1279622

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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

ROBERT EDWIN BERRYHILL (CRD# 1279622)

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 **05/27/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	08/20/2010
IA	MORGAN STANLEY	CRD# 149777	09/23/2010

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **28** 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	WELLS FARGO ADVISORS, LLC	19616	OVERLAND PARK, KS	01/01/2008 - 08/23/2010
IA	WELLS FARGO ADVISORS, LLC	19616	OVERLAND PARK, KS	01/01/2008 - 08/23/2010
B	A. G. EDWARDS & SONS, INC.	4	OVERLAND PARK, KS	10/01/1990 - 01/03/2008

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	2
Customer Dispute	2



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 **28** 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	08/20/2010
B NYSE American LLC	General Securities Representative	Approved	06/17/2011
B Nasdaq Stock Market	General Securities Representative	Approved	08/20/2010
B New York Stock Exchange	General Securities Representative	Approved	08/20/2010
B Arizona	Agent	Approved	11/29/2017
B Arkansas	Agent	Approved	01/05/2012
B California	Agent	Approved	08/20/2010
B Colorado	Agent	Approved	08/20/2010
B Connecticut	Agent	Approved	08/12/2011
B Florida	Agent	Approved	05/24/2018
B Georgia	Agent	Approved	09/23/2022
B Hawaii	Agent	Approved	12/07/2022
B Illinois	Agent	Approved	09/30/2022



Qualifications

Regulator	Registration	Status	Date
B Iowa	Agent	Approved	09/22/2022
B Kansas	Agent	Approved	08/20/2010
IA Kansas	Investment Adviser Representative	Approved	09/23/2010
B Kentucky	Agent	Approved	08/20/2010
B Louisiana	Agent	Approved	09/27/2022
B Maryland	Agent	Approved	02/01/2024
B Michigan	Agent	Approved	09/22/2022
B Minnesota	Agent	Approved	09/22/2022
B Missouri	Agent	Approved	08/24/2010
B Montana	Agent	Approved	06/20/2019
B New Jersey	Agent	Approved	09/22/2022
B New York	Agent	Approved	09/22/2022
B North Carolina	Agent	Approved	07/20/2012
B Oklahoma	Agent	Approved	12/06/2010
B Pennsylvania	Agent	Approved	09/22/2022
B South Carolina	Agent	Approved	09/21/2020
B Texas	Agent	Approved	01/05/2012
IA Texas	Investment Adviser Representative	Restricted Approval	03/22/2012



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	09/22/2022
B Washington	Agent	Approved	09/21/2022
B Wisconsin	Agent	Approved	06/10/2020

Branch Office Locations

MORGAN STANLEY
11161 Overbrook Road
Suite 225
Leawood, KS 66211



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, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	03/15/2011
General Securities Representative Examination (S7)	Series 7	07/20/1985
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/19/1984

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	06/19/1984
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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
B	01/01/2008 - 08/23/2010	WELLS FARGO ADVISORS, LLC	CRD# 19616	OVERLAND PARK, KS
IA	01/01/2008 - 08/23/2010	WELLS FARGO ADVISORS, LLC	CRD# 19616	OVERLAND PARK, KS
B	10/01/1990 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	OVERLAND PARK, KS
IA	12/16/1997 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	OVERLAND PARK, KS
B	09/15/1989 - 10/10/1990	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	NEW YORK, NY
B	01/29/1986 - 09/15/1989	THOMSON MCKINNON SECURITIES INC.	CRD# 829	NEW YORK, NY
B	06/24/1985 - 01/01/1986	INVESTACORP, INC.	CRD# 7684	
B	04/11/1985 - 07/05/1985	FIRST INVESTORS CORPORATION	CRD# 305	
B	06/20/1984 - 10/17/1984	FIRST INVESTORS CORPORATION	CRD# 305	

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
08/2010 - Present	MORGAN STANLEY SMITH BARNEY	FINANCIAL ADVISOR	Y	Leawood, KS, 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.

1. ROBSCABOHOME, CABO SAN LUCAS; VACATION RENTAL; OWNER; 0 DURING 1 HOUR PER WEEK OUTSIDE OFFICE HOURS; HAS WEBSITE TO DIRECT TO; OWN CONDO AND RENT IT OUT.



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	2
Customer Dispute	2

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 2

Reporting Source: Regulator

Regulatory Action Initiated By: KANSAS SECURITIES COMMISSIONER

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/24/1992

Docket/Case Number: 92E032/91-1922

Employing firm when activity occurred which led to the regulatory action: A. G. EDWARDS & SONS, INC.

Product Type:

Other Product Type(s):

Allegations: CONDUCTED UNAUTHORIZED TRADING IN A CLIENT'S ACCOUNT.

Current Status: Final

Resolution: Consent

Resolution Date: 03/24/1992

Sanctions Ordered: Censure

Other Sanctions Ordered:

Sanction Details: CONSENT ORDER ENTERED INTO WITH RESPONDENT WHEREBY RESPONDENT IS CENSURED.



Regulator Statement RESPONDENT PLACED THREE UNAUTHORIZED TRADES IN A CLIENT'S ACCOUNT WITH ANY TYPE OF DISCRETIONARY APPROVAL.

Reporting Source: Firm

Regulatory Action Initiated By: THE SECURITIES COMMISSIONER OF THE STATE OF KANSAS

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/24/1992

Docket/Case Number: 92E032/91-1922

Employing firm when activity occurred which led to the regulatory action: A. G. EDWARDS & SONS, INC.

Product Type:

Other Product Type(s):

Allegations: THE STATE OF KANSAS ALLEGES THAT ON OR ABOUT 3/26/90 MR. BERRYHILL WITHOUT AUTHORIZATION OF CLIENT PHILLIP MINTON PURCHASED 200 SHARES OF UNISYS ON MARGIN.

Current Status: Final

Resolution: Consent

Resolution Date: 03/24/1992

Sanctions Ordered: Censure

Other Sanctions Ordered:

Sanction Details: Not Provided

Firm Statement THE STATE ALSO ALLEGES THAT ON ABOUT 3/28/90 MR. BERRYHILL WITHOUT AUTHORIZATION SOLD TWO JULY 17 1/2 CALLS ON MARGIN. THE STATE FURTHER ALLEGES THAT THE UNAUTHORIZED TRADING BY MR. BERRYHILL CONSTITUES @ DISHONEST OR UNETHICAL BUSINESS PRACTICE CONTRARY TO K.S.A. 17-254 (G)(7) AND K.A.R. 8-3-1 (1)(1)(A)

Reporting Source: Individual

Regulatory Action Initiated By: KANSAS SECURITY COMMISSION

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/24/1992

Docket/Case Number: 92E032/91-1922

Employing firm when activity occurred which led to the regulatory action: A. G. EDWARDS & SONS, INC.

**Product Type:****Other Product Type(s):**

Allegations: PHIL MINTON FILED COMPLAINT WITH KANSAS SECURITIES COMMISSION ALLEGING UNAUTHORIZED TRADING WITH LOSSES OF \$1,500

Current Status: Final

Resolution: Consent

Resolution Date: 03/24/1992

Sanctions Ordered: Censure

Other Sanctions Ordered:

Sanction Details: CONSENT ORDER ENTERED INTO WHEREBY BERRYHILL IS CENSURED

Broker Statement Not Provided

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: CHICAGO BOARD OPTION EXCHANGE

Sanction(s) Sought:**Other Sanction(s) Sought:**

Date Initiated: 08/01/1987

Docket/Case Number: 88-0151

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

Product Type: Options

Other Product Type(s):

Allegations: BERRYHILL, A REGISTERED REPRESENTATIVE EFFECTED AN UNAUTHORIZED CLOSING SALE OF 2 CALL OPTION CONTRACTS AND AN UNAUTHORIZED OPENING PURCHASE OF 2 CALL OPTION CONTRACTS IN A PUBLIC CUSTOMER ACCOUNT. IN ASSESSING THE PENALTY, THE COMMITTEE CONSIDERED THE FOLOWING FACTORS: 1) BERRYHILL ATTEMPTED TO AND WAS UNABLE TO CONTACT THE CUSTOMERS PRIOR TO ENTRY OF THE TRADES; AND 2) ONCE HE WAS ABLE TO CONTACT THE CUSTOMERS, BERRYHILL GAVE THEM THE OPPORTUNITY TO CANCEL THE TRADES, BUT THE CUSTOMERS DECLINED TO DO SO. IN ADDITION, THE COMMITTEE CONSIDERED THE SMALL NUMBER OF OPTION CONTRACTS AND TRANSACTIONS INVOLVED WHICH RESULTED IN A NOMINAL NET GAIN TO THE CUSTOMER.

Current Status: Final

Resolution: Consent

Resolution Date: 05/31/1989



Sanctions Ordered: Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details: THIS CASE WAS RESOLVED BY AN OFFER OF SETTLEMENT WHEREBY RESPONDENT ROBERT BERRYHILL DID NOT ADMIT OR DENY THAT CBOE RULES HAD BEEN VIOLATED. SANCTION: A \$1,000

Reporting Source: Firm

Regulatory Action Initiated By: CBOE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 08/01/1987

Docket/Case Number: 88-0151

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

Product Type:

Other Product Type(s):

Allegations: UNAUTHORIZED OPTION TRADING IN THE ACCOUNT OF CLIENT SAM SMITH

Current Status: Final

Resolution: Consent

Resolution Date: 05/31/1989

Sanctions Ordered: Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details: 1,000 FINE PAID TO CBOE

Firm Statement BOUGHT OPTIONS WITHOUT CUSTOMER CONSENT, GAVE CUSTOMER OPPORTUNITY TO BUST TRADES BUT CUSTOMER DECLINED BECAUSE AT THE TIME THE TRADES WERE PROFITABLE. 3 MONTHS LATER THE CUSTOMER COMPLAINED TO THE BRANCH MANAGER AND THE COMPLAINT WAS FORWARDED TO THE CBOE OPTION EXCHANGE. CBOE ASSESSED \$1,000 FINE.

Reporting Source: Individual

Regulatory Action Initiated By: CHICAGO BOARD OPTIONS EXCHANGE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 08/01/1987



Docket/Case Number:	88-0151
Employing firm when activity occurred which led to the regulatory action:	THOMPSON MCKINNON SECURITIES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	UNAUTHORIZED TRADING IN A CLIENT'S ACCOUNT.
Current Status:	Final
Resolution:	Consent
Resolution Date:	05/31/1989
Sanctions Ordered:	Monetary/Fine \$1,000.00
Other Sanctions Ordered:	
Sanction Details:	\$1000 FINE PAID TO THE CBOE FOR UNAUTHORIZED TRADING, THERE WERE NO ALLEGED LOSSES.
Broker Statement	Not Provided



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 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: A. G. EDWARDS & SONS, INC.

Allegations: ALLEGED UNSUITABLE INVESTMENTS, UNAUTHORIZED PURCHASES (INCLUDING PURCHASES ON MARGIN); BREACH OF CONTRACT; BREACH OF FIDUCIARY DUTY AND NEGLIGENCE.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): EQUITY - OTC

Alleged Damages: \$110,000.00

Customer Complaint Information

Date Complaint Received: 09/06/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/11/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD #02-05936

Date Notice/Process Served: 10/11/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/23/2004

Monetary Compensation Amount: \$60,000.00

Individual Contribution Amount: \$24,000.00

Disclosure 2 of 2

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: A.G. EDWARDS

Allegations: ALLEGE FAILURE OF FIRM TO EXECUTE ORDER, RESULTING IN LOSS IN EXCESS OF \$5,000.00

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/15/1999

Complaint Pending? No

Status: Settled

Status Date: 05/07/1999

Settlement Amount: \$25,000.00

Individual Contribution Amount:

Broker Statement A.G. EDWARDS SETTLED WITH CLIENT FOR \$25,000.00
ORDER FAILED TO EXECUTE DUE TO A COMPUTER FAILURE AT A.G. EDWARD'S HOME OFFICE.



End of Report

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